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SECURITY PROGRAM OF THE CENTRAL INTELLIGENCE AGENCY
1941-68

VOLUME II PERSONNEL SECURITY
PART TWO CHAPTERS III, IV, AND APPENDIXES

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OS-2

May 1973

Copy 2 of 2

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WARNING NOTICE
SENSITIVE INTELLIGENCE SOURCES
AND METHODS INVOLVED

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III. The Ongoing Personnel Security Program

A. General

One criticism frequently made of the Federal personnel security program is that the major concentration is on the security screening of personnel, and not enough is done to insure the continued security reliability of on-board employees. Adding to this is the prevailing psychological notion that an individual's past behavior represents a relatively reliable indicator of what his future behavior is likely to be. The author is of the opinion that, although the criticism may be partly justified in regard to the Federal personnel security program overall, the criticism is not valid in the case of CIA.

The available evidence indicates that the Agency very early addressed itself to the proposition of insuring that its employees continued to perform to a standard of reliability. This evidence is in the form of a great variety of policies, procedures, and actions initiated by CIA, which to the casual observer may not seem to indicate that they were all motivated by a single purpose --

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the author, in fact, confesses to having personally coined the "ongoing personnel security program" phraseology for the purposes of this history.

To the professional observer, however, the point is unmistakably clear, that Agency management developed an acute sensitivity to the proposition that, due to the natural limitations on its screening processes, subversives might conceivably obtain Agency employment, and that others once on board would be the subjects of penetration attempts on the part of hostile foreign intelligence services. The compendium of policies, procedures, and actions initiated by CIA managers to counter this possibility, when viewed overall, appears to have been intended to establish that state of communication necessary to the maintenance of an attitude of mutual trust, rather than that which is so frequently and aptly described as a "big brother is watching" situation. There have been extremely few Agency employees subjected to surveillance by OS -- of those that were, a few had been engaged in activities which completely justified the action, but in the case of a far larger number the action was taken in the

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personal interests of the employee as in cases of individuals undergoing extreme emotional distress or suffering from severe mental disorders. The controls which various Agency regulations prescribe covering the personal non-official lives of CIA employees must certainly be considered extraordinary; however, most individuals who have undergone processing related to such matters would agree that they are handled in a non-policeman-like manner. CIA's mission was in every respect a "grown up" mission to be engaged in only by responsible, mature employees who were fully entitled to be treated as such. Indeed, through such a program, OS was able to earn the reputation of being the employee's friend, and since it was so generous with its assistance and advice, few seemed to object to the stern, "dutch uncle" talk which followed some occasional indiscretion on the part of the employee.

But, as previously explained, although the Agency's ongoing personnel security program had a single objective, it was not a single effort -- there were many pieces to it. Consequently, the

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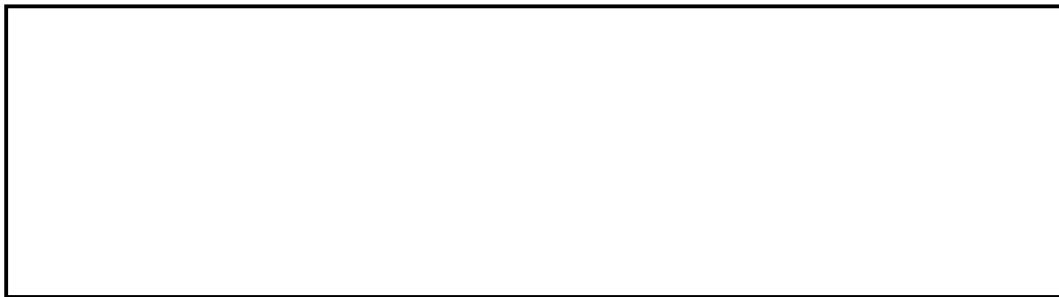
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author has chosen to describe the historical development of several of these pieces separately.

B. Security Indoctrination and Education.

Until 1955 the security indoctrination of new Agency employees was the responsibility of the Physical Security Branch -- a function which complemented other activities of the Branch related to EOD processing -- e.g., fingerprinting and photographing, issuance of badges, supervised reading of CIA security regulations, and witnessed execution of an Agency secrecy oath by all new employees. Little is currently available concerning the possible other content of these early security indoctrinations, although it is known that they included a State Department-prepared movie related to security, which even as of that time was apparently considered somewhat outdated. Some statistics are available covering the 1948-54 inclusive period. These are provided below 120/:



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An IG memorandum of 2 April 1952 criticized the EOD security indoctrinations as inadequate and unsatisfactory. Edwards, in a 21 April 1952 memorandum to the DDA, 121/ advised that his own personal investigation into the matter had substantiated the IG's findings, and he promised to undertake the following short-range actions and long-range plans to correct the deficiency:

A long range plan has been undertaken by this office to improve the security briefings by a complete revision and rewriting of the subject matter used in the lectures, training and recruiting new lecturers, requesting the Office of Training for assistance in developing and presenting the indoctrination, using visual aids and demonstrations to dramatize and clarify the presentation, and the production of a CIA movie on security to take the place of the outdated State Department movie. Inasmuch as this long range program cannot be put into effect overnight, and realizing the shortcomings of the security briefings as commented on by the Inspector General, I have taken immediate steps to improve the briefings as of this date through the following measures:

A. The Deputy Security Officer/CIA
will deliver a short introductory talk on the

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need for security before the detailed briefing on security is given.

B. New personnel believed to be more able in making a talk before an audience will replace the individuals who have up to now currently been giving the briefings.

C. The subject matter in the briefings has been revised on an interim basis pending the completion of the thorough revision and rewriting in order to immediately eliminate those portions of the briefing which are patently of no value to the presentation.

D. The institution of visual aids and demonstrations as rapidly as they can be prepared for presentation.

Perhaps also as a result of the IG's criticism, I&SO commenced in April 1952 the practice of publishing Agency-wide security notices to aid in the continuing security education of CIA employees. 122/ These notices were in effect bulletins, which contained a mixture of reiterations of existing security policy and procedure, suggestions related to special security hazards, a generous amount of comment of the security "pep talk" variety, and even an occasional citation for some Agency organizational element demonstrating an unusually outstanding security record. The issuance of this particular type

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of security notice does not appear to have been continued beyond 1953. The following quotations, selected at random, provide excellent insight into the nature of these bulletins:

HOW DOES STALIN GET HIS FACTS?

Communist Party members, sympathizers, and dupes form the bulk of STALIN'S information network in this country. There are two means by which they might penetrate CIA: A professional espionage agent might secure employment here, or the agent might secure information from thoughtless or careless CIA employees. A careless or thoughtless employee is just as dangerous to us as an enemy spy. Because CIA is a sensitive agency dealing in highly classified information and materials, each individual employee becomes a logical target for espionage. Espionage agents are experts at exploiting all human fragilities. They probe and probe the chain of security until a weak link is discovered. Faith, enthusiasm, pride, conceit, and ignorance all become weapons in their hands unless you temper them with judgment and discretion. It makes absolutely no difference whether they get their information from espionage by spies and traitors or from CARELESSNESS, NEGLIGENCE, or LOOSE TALK by loyal Americans. The end result is the same. You can avoid being an unwitting ally of enemy agents only by maintaining a security consciousness at all times.

REMEMBER

SECURITY CONSCIOUSNESS MEANS A SECURITY CONSCIENCE

CITATION

Congratulations are extended to all personnel of the Office of Scientific Intelligence, for establishing a

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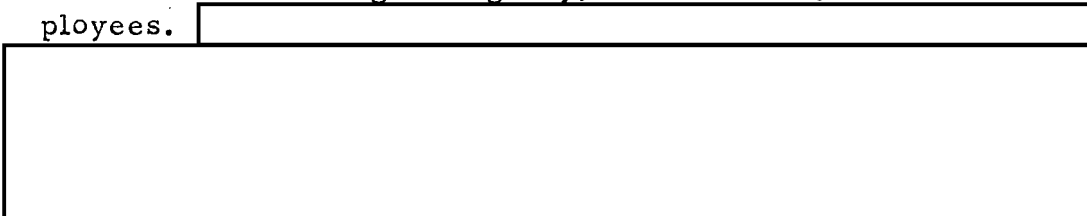
perfect record of no security violations for the months of October and November 1952. The Office of Collection and Dissemination also recorded no security violations for November 1952. These records show that it can be done, even by the larger offices.

A SUGGESTION TO STAFF DUTY OFFICERS

The functions and responsibilities of Staff Duty Officers in checking assigned areas at closing time to ensure that their areas are secure are among the most important duties in the Agency. These duties should always be performed with the utmost care. DON'T hurry through your checks, DON'T be careless, and DON'T take security for granted. An unlocked safe is a serious matter.

DIARIES AND PERSONAL ADDRESS BOOKS

Diaries and personal address books maintained by Agency personnel should not under any circumstance contain information concerning the Agency, its activities, or employees.



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SAFEGUARDING TYPEWRITER RIBBON AND CARBON PAPER

Used typewriter ribbon and carbon paper contain the imprints of the typewritten material and are often legible, particularly where they have been used only a short time. All carbons used in the typing of classified information should be safeguarded the same as the material itself, and they should be placed with the classified waste when ready for disposal. Ribbons used in the typing of classified

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information should also be properly safeguarded when they appear legible; and when replaced, they should be disposed of as classified waste.

CARRYING CLASSIFIED DOCUMENTS HOME FOR NIGHT WORK

There are indications that some officials are taking classified documents home at night. This is strictly in violation of regulations. It creates a serious security risk, and cannot be permitted. Continuance of this practice may necessarily result in the establishment of an inspection system which would inconvenience all employees.

CARELESS TELEPHONE HABITS

There is evidence, too, of increasing laxity in discussion of classified matter over the telephone. This includes the naming of persons, places and projects. In addition, the Signal Center has had repeated improper queries for information which cannot be divulged on the phone. Telephonic requests to the Signal Center for cables should be limited to the "IN" or "OUT" number of the desired cable. Names of places, projects, people or subjects should never be mentioned on the phone in connection with a cable. All persons must carefully observe the rules for telephone conversations. Telephone lines and inter-office communications systems are not protected; conversations may be overheard by unauthorized persons.

CLASSIFIED WASTE RECEPTACLES

Over a period of time it has been observed that there is a greater tendency to overlook classified waste receptacles which are attached to walls, desks, or tables, than those which are kept on the desk surface. Therefore, in order

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to avoid possible security violations, it is suggested that such receptacles be kept openly on the surface of desks and not attached to walls, desks, or tables.

UNATTENDED DESKS

A few officials have been leaving their offices unattended or unwatched with classified information exposed. This carelessness cannot be tolerated, even for "a few minutes." The practice is particularly flagrant among senior officials with private offices. More caution should be exercised in the connecting office arrangement.

SUGGESTED PRECAUTIONS

1. Officials carry highly classified information of a sensitive nature should never ride alone in a vehicle. They should always be accompanied by at least one other security cleared person. Drivers or other occupants of a vehicle should be prepared to secure classified matter in case of an accident. (Couriers are governed by special regulations issued to them.)
2. Hotel rooms, particularly in Washington, are not secure unless definite security arrangements are made. Great caution should be exercised in their use for the official discussion of classified subjects.
3. Official conferences should not be held in private residences except under unusual circumstances and only after proper security arrangements have been made.
4. Report a lost or compromised document IMMEDIATELY to the Security Office. Prompt action

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will minimize the extent of compromise and lighten the punitive action.

5. Lock up your calendar pad. Experience proves that it often contains classified information.

NEW IDENTIFICATION BADGE

A new and improved building badge incorporating a challenge system will be issued in the near future.

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QUESTIONS CONCERNING ALIEN AFFAIRS' MATTERS
AND [REDACTED]

Security hazards and embarrassment to the Agency may be avoided in matters concerning aliens by telephoning the Alien Affairs Office, I&SO, [REDACTED] for advice and guidance before taking initial action.

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These were not the only examples of early CIA security instructions for the benefit of the on-board employee. As early as January 1951, DCI Walter B. Smith had ordered an overall Agency orientation and indoctrination for current and new employees tailored to the needs of personnel whose assignments required a general knowledge of Agency organization and operations. 123/ These courses, conducted by OTR, included lecturers from a variety of Agency organizational components, and among the listed speakers was [REDACTED] the Agency's Deputy

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Security Officer. Later runnings of this course (late 1952 and early 1953) were held in the Department of Agriculture auditorium, and the overall course was of four days' duration. 124/ Thus began the practice of OS providing guest lecturers to a great variety of training courses provided by OTR, a practice which is still in effect as of today (1972).

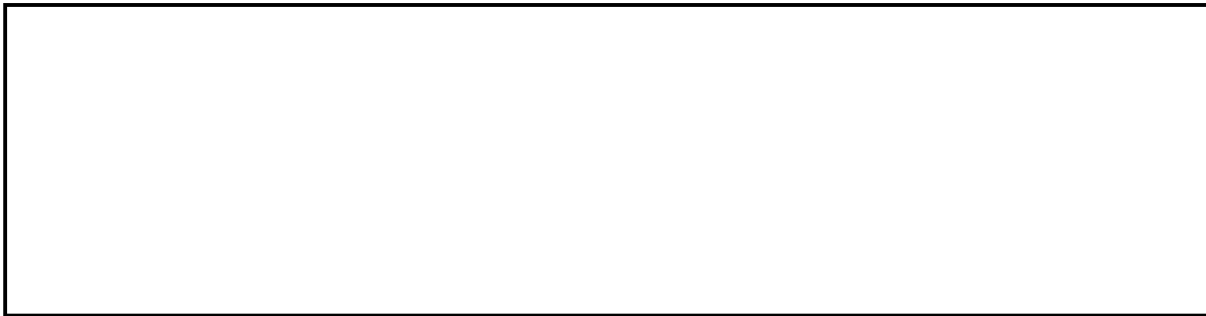
A 1953 classification study resulted in the establishment of a Training Branch as part of OS's Administration and Training Staff (A&TS). Until 1955 the activities of this Branch were solely concerned with the training of OS personnel. In March 1955, however, the Branch assumed the additional responsibility for the overall Agency security indoctrination program, including the EOD indoctrination previously administered by the Physical Security Division. 125/*

The OS reorganization which took place in December 1954 occasioned still another change in responsibility for a different

* The Physical Security Branch was raised to Division status in December 1954.

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aspect of the Agency's security indoctrination and education program. In August of 1952 a representative of the Personnel Security Branch of I&SO's Security Division had been physically located with the Agency's Central Processing Branch in order to improve the security briefing of Agency employees traveling abroad. 126/ By March of 1953 the procedure also included the briefing, where necessary, of dependents of employees assigned to work at posts overseas. Security briefings conducted



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resigning or going on extended leave without pay -- an activity which had apparently commenced late in 1950. 127/

When the Employee Activity Branch was created as part of the Personnel Security Division in December 1954, these briefings and interviews were included among other functions to be performed by newly established EAB. Such briefings are still a part of EAB's total responsibilities today (1972), although they are no longer

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conducted within the offices of the Central Processing Branch -- a sign-off processing card provided to the employee now lists EAB as one of the necessary steps to be made. Table 8 provides statistics for the years 1951-68, inclusive, covering this aspect of EAB's work.

Another aspect of personnel security indoctrination and education was performed outside OS -- by career and area security officers assigned to Agency operating components and [redacted] over- seas field installations. Most component security officers provided some form of initial security instruction to new office arrivals to acquaint them with the security aspects of work performed in the unit; and security officers working at [redacted] stations, and bases abroad saw to it that all incoming personnel were quickly briefed on local security hazards and peculiarities concerning the local security situation.

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The security indoctrination of individuals into intelligence matters which are the subjects of special compartmented systems of security control was another responsibility which came to OS. At first the OCI, NPIC, and Development Projects Staff security

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officers conducted these briefings (all related to different subjects); today (1972) they are conducted by the Compartmented Information Branch (CIB) of OS's Security Records and Communications Division.* All such briefings, of course, must include a descriptive identification of the scope of information subject to the special security controls, as well as details related to manner in which such information is to be provided the necessary degree of protection.

By September 1956 the A&TS Training Branch had instituted a three-hour security indoctrination lecture as a regular part of the EOD processing of all new employees. Work was begun on a security indoctrination motion picture film, "Personal Security," in 1957. 128/ In September 1961 this film, a four-part, two-hour presentation especially tailored to the requirements of security indoctrination of all new Agency employees, was made a part of the EOD indoctrination. 129/ In January 1958 a program -- later

* SR&CD -- see II, D, above.

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referred to as Security Reindoctrination Program No. 1 -- was commenced involving the reindoctrination of all on-board employees, designed to reacquaint employees with the importance of good security to CIA's mission. 130/ Over attended this meeting during the following 20 months. In November 1963, following approval by the Executive Director-Comptroller, Security Reindoctrination Program No. 2 was begun, thereby laying the foundation for subsequent reindoctrinations every four years on a regular basis.* The IG in a report of a survey of the Agency's personnel security program in October 1963 commented favorably on the content and format of the security reindoctrination. His report stated:

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Some years ago the Office of Security delivered to all Headquarters employees a security reindoctrination lecture. Although the lecture was, in effect, a rebriefing on security, it was so cleverly devised and so well presented that it was not looked upon by the average employee as merely another "security lecture." A new security reindoctrination program is now being put together and the presentations will begin in mid-November. 131/

* Another reindoctrination program was undertaken in 1968.

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The year 1961 saw the A&TS Training Branch begin a program of one-hour security lectures tailored to the needs of Agency dependents traveling overseas, and another program of lectures designed specifically for the summer employees. These, however, were not all; following is a list of guest lecturer presentations provided on a regular basis by OS today (1972) in support of training requirements:*

Administrative Procedures

CIA Review

Orientation to Overseas

Support Services Review

Field Operations Familiarization (2 lectures: Personnel security and counter audio penetration)

Basic Investigative Techniques

DDS&T Career Development

Recognizing the special vulnerability involved in the Agency's communications processes, the OS provides the following additional lectures to OC employees:

* Course titles are as identified by OTR.

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Office of Communications, special EOD briefing --
twice yearly;

Orientation to Overseas for Wives of Commo
Students -- twice yearly.

Additionally, the following is a list of guest lecturer presentations provided by OS today (1972) as a courtesy to organizational elements external to CIA:

Armed Forces Courier Services (ARFCOS) -- every
two weeks.

Defense Intelligence School Attache Class -- every
three months.

ARFCOS Station Commander Briefing -- once
yearly.

In closing this section on security indoctrination and education, the author feels that the following additional quotation from the IG's 1963 survey report might serve to put this subject in proper security perspective as it relates to the Agency's overall security program:

One of those whom we interviewed made the point that CIA employees have good security reflexes. He was thinking in terms of the fact that many of our people are working directly against the opposition and that all of us are fully aware that we are prime targets of the opposition. We believe that these favorable security reflexes stem in at least equal measure from the fact that dozens of times each day each employee is

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reminded of our security measures -- the badge that is habitually worn, the guards, the safes, the room checks, the secure telephones, the burn trash bag, and so on. A previous statement is worth repeating: the employee is never allowed to forget that CIA takes security seriously.

C. Control of Personal Activities and the "Open Door" Policy

By January of 1947 -- with the concept well established that the Central Intelligence Group was to become by statute an independent Agency with its own autonomy and personnel body instead of a loose confederation of existing US intelligence organizations -- it was recognized that, because of the new Agency's unique and sensitive mission, certain controls needed to be imposed upon the personal, outside activities of its employees in order to insure preservation of security in Agency operations. The first published Security Regulations Central Intelligence Group -- begun by the OCD Security Branch and finished by I&SO prior to its 15 August 1947 approval by the DCI -- included the following restrictions:

1. Required approval for public speaking or writing for publication.
2. Required notice of changes in personal status, e.g.; "address, marriage, etc."

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3. Required badges turned in during leave of absences.

4. Prohibited discussing CIG activities outside the office.

5. Prohibited use of other than designated CIG employees for credit reference purposes.

6. Required reporting of involvement in traffic accidents, court proceedings, or other external affairs in which CIG might become directly or indirectly involved, even though the matter be almost entirely personal.

7. Prohibited advertising CIG group social activities as CIG functions. 132/

Additional restrictions were subsequently imposed through the issuance of single-subject instructions. A 16 February 1949 Administrative Instruction required the prior approval by I&SO of all private foreign travel. 133/ An AI of 4 October 1949 required I&SO approval for taking or instructing unofficial study courses where the courses's content might have some bearing on intelligence activities -- other courses could be approved by the Assistant Directors or Staff Chiefs concerned. 134/ A notice of 25 July 1950 required that all outside employment be approved by both I&SO and appropriate supervisory elements. 135/

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Until December 1954 the principal office involved in actions related to restrictions on the personal activities of Agency employees was I&SO's Security Control Staff (SCS). Since SCS was responsible for the preparation of security policy, it was the most logical place to seek interpretation of the policy to individual situations involving the employees. SCS handled the approval in those instances where the regulations required approval, and it provided advice and counsel to employees where action required by the regulations was one of reporting the matter. A review of SCS progress reports for the year 1948 reveals that the office processed an average of 15 requests a month related to personnel engaged in such activities as giving outside-Agency lectures, submitting academic papers or material for publication, teaching courses, and engaging in other extra-official group activities. 138/ In each instance the matter was carefully assessed and appropriate guidance rendered to the individual prior to approval. The volume of this work performed by SCS grew rapidly and in 1954 the staff processed 2,525 requests for security approval on submission of academic papers, publishing of articles and books, delivering speeches in public, and other personal outside-Agency activities of employees. 139/

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The Employee Activity Branch (EAB) of the Personnel Security Division was established as a result of the OS reorganization of 4 December 1954.* Included among a statement of EAB's functions was:

It /EAB/ monitors outside activities of CIA employees which might reasonably be construed to affect the security of the Agency directly or indirectly. These activities include but are not limited to private unofficial foreign travel, speeches and publications, part-time employment, activities where publicity may ensue, questionnaires and applications requiring disclosure of employment, association or contact with representatives of foreign governments, court proceedings, preparation of affidavits and attendance at educational institutions. The monitoring consists of a review of the individual's security file, research on the proposed activity, coordination with other interested offices, and appropriate instruction and guidance to the employee to assure protection of classified CIA information, methods and sources and to avoid publicity and embarrassment for either the Agency or the employee. 140/

In the meantime, CIA regulations had commenced a process of conversion to loose-leaf format -- probably as a means to more conveniently effect revisions and updating. On 3 May 1955 Agency

* See OS-1 in this series, III, A, for further details related to this reorganization.

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[redacted] "Limitations on Outside Activities," was integrated into this series, and it complied into one regulation most of the previously existent restrictions and controls on outside activities of employees. 141/ This regulation was revised in December 1956, and again in 1960. [redacted]

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"Limitations on Outside Activities," published 1 April 1961 and last revised on 5 February 1970, is the presently applicable Agency policy concerning this subject. The principal responsibility for administration of this policy -- attached as an appendix to the volume* -- rests with EAB. Table 9 provides a statistical compilation of EAB activities in this area for years 1955 through 1968 inclusive.

A supplementary benefit resulting from EAB's activities in this area -- other than the control over areas of employee activity wherein demonstrated potential for security compromise exists -- was that it established an awareness in Agency employees that CIA was interested in those personal activities and problems of

* See Appendix E.

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possible security significance, and identified an office wherein such matters could be discussed in an atmosphere of confidentiality. Thus employees came to EAB to discuss matters which were not specifically covered in Agency security regulations, and they always received guidance and, where appropriate, other assistance. The net result, therefore, was the establishment of an extremely healthy state of communication between the employee and OS -- absolutely essential, if the system was to be primarily dependent upon a mutual trust arrangement. It became known and accepted that OS maintained an open door for the problems of the employee.

OS's open door policy is frequently today referred to by OS lecturers. It has become an essential element of the OS "party line"; Madison Avenue advertisers could not help but see the significance of the campaign in terms of the really "gut" problems

(cont.) wondered how many other CIA employees had written articles in their fields of interest for publication without attribution. 142/

(c) Outside employment, joining clubs and associations, and other.

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of personnel security. Just how or where use of the term originated, however, appears to have escaped the author.

[] in his July 1952 Survey of the Inspection and Security Office CIA, used the phrase in the following context:

This office maintains an "open door" to all employees of the Agency for the purpose of assisting them on any problems which fall within the scope of I&S's responsibilities. This practice is a particularly commendable one, for it is paying untold dividends to the general mission and overall security of the Agency. While lingering doubts are apparently still harbored in some quarters of the Agency with respect to inspection-security matters in general, personnel in non I&S areas of the Agency, with increasing frequency, are bringing their security to this Office for advice and assistance. 143/

Although [] used the phrase to describe the development of OS's operational support program -- discussed in another volume in this series* -- the author is convinced that the two matters are related. While, OS early began advertising an open door to other Agency components that might make use of its domestic covert field office facilities, it also began very early to open its doors to the personal problems of the individual employee. Some of the

* See OS-4, Operational Support.

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assistance provided to Agency employees was effected through

[REDACTED] Several examples are also provided in the other volume,* and they include such services as providing assistance to dependents of deceased and incarcerated employees, facilitating the return of employees and dependents from overseas due to physical and mental illnesses, and even one case involving OS procurement of a mail cutout address to assist a young female employee undergoing pregnancy out of wedlock, who did not wish her parents to learn of her condition.

Employees didn't always come to OS with their problems; sometimes they were reported by supervisory elements, or by one of the Office's Federal or local police liaison contacts or confidential informants -- sometimes they were read about in the newspapers. When spouses and dependent children are considered, the CIA personnel body is equivalent to a community of

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[REDACTED] An examination of the activities of a police department servicing the average US

* OS - 4.


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community of that size would astound most individuals because of the volume of work and variety of situations in which the citizenry become involved -- many of a very serious nature. Probably because of the Agency's excellent personnel selection program, the CIA employee becomes less frequently involved in confrontations with police than does the average US citizen. Agency employees and their dependents, however, have proven that they are not immune to the prospect involving the commission of serious crimes; and furthermore, the Agency concerns itself with personal activities of a less serious nature -- situations in which, if the Agency employee were an average citizen, the local police department would decline involvement. Thus, in addition to providing personnel security screening services, the work of OS's Personnel Security Division has the busy, sometimes frantic air about it of the average police department servicing a community with a population in excess

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This type of work has historically been performed either by the Chief, PSD or by personnel responding directly to the Chief. During FY-1965 the work of the Chief, Deputy Chief, and 3 Special

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Assistants working in PSD included 7,680 man-hours (1,440 hours overtime) spent in interviews and interrogations of employees, liaison with other US Government agencies and local police departments related to employee problem cases, and giving security advice, guidance, and warnings to CIA employees. 144/ Active problem cases were averaging about 20 to 25 a week as of that time. This work has always been of direct personal interest to the Director of Security -- the incumbent D/S, Howard J. Osborn, has attached particular significance to this aspect of OS activity. The DDS is advised at least weekly on an "eyes only" basis of the status of outstanding problem cases, and a significant number are brought to the personal attention of the DCI. The program has historically received strong support and backing from CIA management.

Working on the assumption that the most secure employee is the employee least beset by personal problems, OS activities in this area have not been limited to situations where security was the principal matter at issue. The IG, in his 1963 survey of the Agency's personnel security program took particular note of this fact and stated:

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Although the Office of Security is primarily concerned with security per se, its normal day to day assistance to Agency employees far exceeds its written charter. The range is virtually limitless and covers such things as assistance in case of accident, medical emergency, troubles with police, housing, divorce, crank telephone calls, etc.

It might be argued that such personnel assistance does not involve matters having security implications and that other elements of the Agency should be assigned such duties. It is evident, however, that Security's close involvement with the welfare of Agency employees yields a direct security return. The Agency has a reputation for "protecting its own" and it is clear that much of this reputation derives from the positive acts of the Office of Security. By extension the Agency's reputation becomes, in large measure, the reputation of the Office of Security. The Office is respected by most employees and it is through its good reputation that it is able to accomplish its tasks as effectively as it does. 145/

Concerning the OS open door policy, the IG stated:

The inviolability of security records is a definite strength. The individual who comes into possession of information with security implications can report it to the Office of Security knowing it will be closely held.

In order to provide the reader with a better appreciation of the scope and nature of this type of OS activity, the author has selected a number of cases at random, and has summarized them in an appendix to this volume.*

* See Appendix F.

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D. Continuing File Review

As stated in the introduction to this history, OS conducts a reassessment of the average employee's security file on numerous occasions throughout his career incidental to some internal transfer, assignment to more sensitive duties, or stemming from some personal activity of the employee. Thus it may be said that there is almost continuing review of the security status of Agency personnel, independent of any program involving the periodic, actual security reinvestigation of employees. Aspects of this reassessment process date back as far as 1947, and it appears to have been motivated by two influences which are perhaps peculiar to the workings of an intelligence organization such as the CIA. One influence was the Agency's emphasis on security compartmentation of sensitive activities; specially compartmented sources of intelligence and new special projects required that the employee's security status be reassessed in terms of the new risk factor involved in providing him access to such information or activity. The other influence was a recognition that varying situation environments associated with different positions in CIA result in varying degrees of exposure

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of the individual to security risk -- the employee serving overseas, for example, is by many multiples more apt to be subjected to attempts to enlist his services on behalf of hostile foreign intelligence services than is the employee serving within the continental limits of the United States. Sometimes the influences were interlocking, as in the case of the communications operator provided access to sensitive code information, and with the knowledge on the part of the Agency that the Soviet intelligence services make a particular point of singling out code clerks for attempted penetrations.

The author is of the opinion that no worthwhile purpose would be served by attempting to trace the origin of each and every action which causes a reassessment of the employee's file, but that it is important for the reader to understand that the process constitutes an important part of the Agency's ongoing personnel security program and to have a general appreciation of how the process works. The author could find no better means of demonstrating these than was contained in a 1963 IG survey report

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of the Agency's personnel security program, a portion of which
is quoted below:

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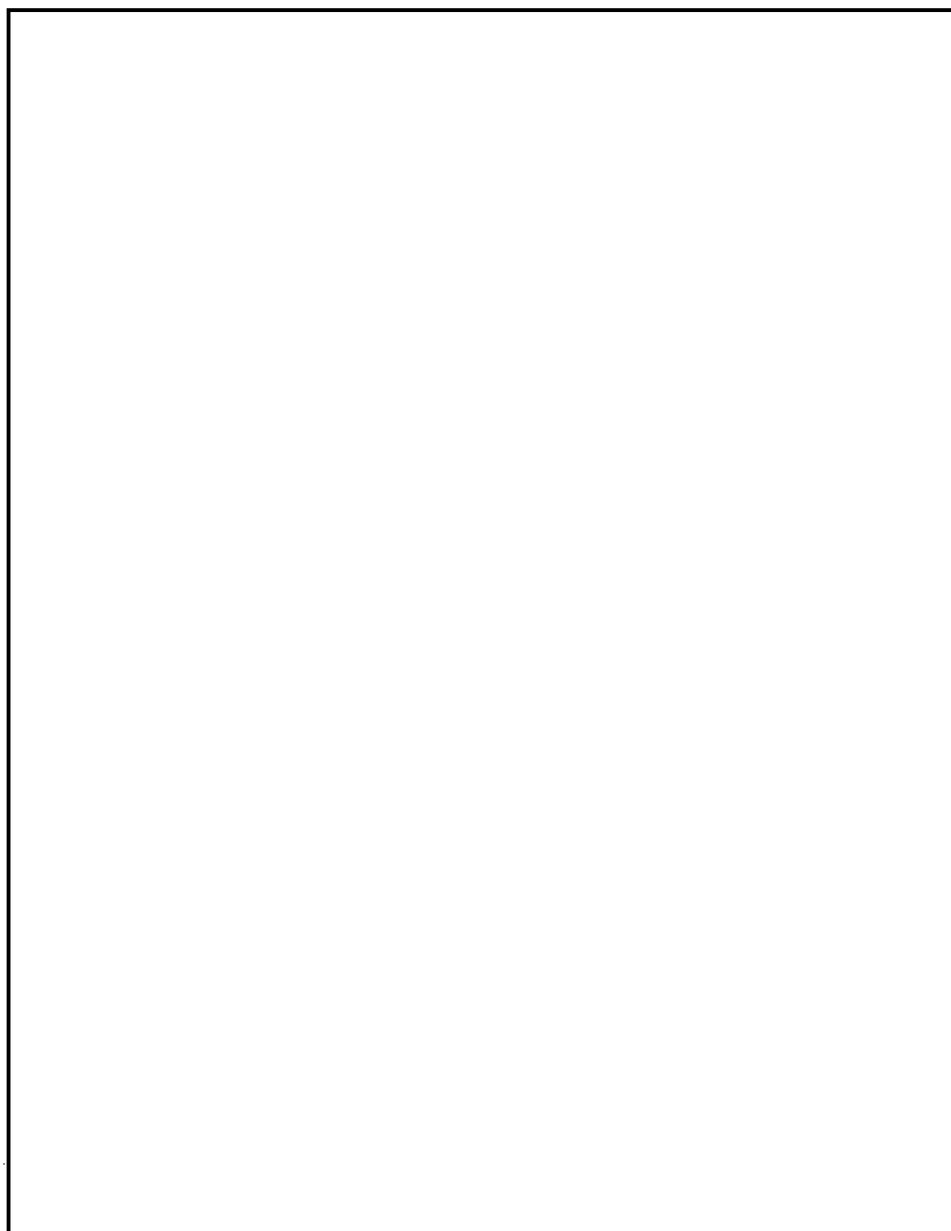
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E. Reinvestigations

The principal impetus for a regularized program involving the periodic reinvestigation of Agency staff employees appears to have

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been a recommendation of the Clark Task Force (headed by General Mark Clark),* which was established by Executive direction in July 1954. The scope of the Task Force's activities included a survey of the Agency's personnel security procedures. Prior to that time, some reinvestigations of Agency personnel had been conducted, but usually these were prompted by a review of the individual's file incidental to some additional internal security consideration -- For example, proposed access to COMINT or AEC Restricted Data et al. -- and discovery that the prior investigation did not meet the full specifications required as a result of the particular new security consideration. No regularized periodic reinvestigation program had been initiated because very few Agency employees had worked for CIA for any significant length of time.

Following a recommendation by the Clark group that Agency employees be periodically reinvestigated on a five-year basis,

* More formally referred to as the Task Force on Intelligence Activities, Commission on Organization of the Executive Branch of the Government.

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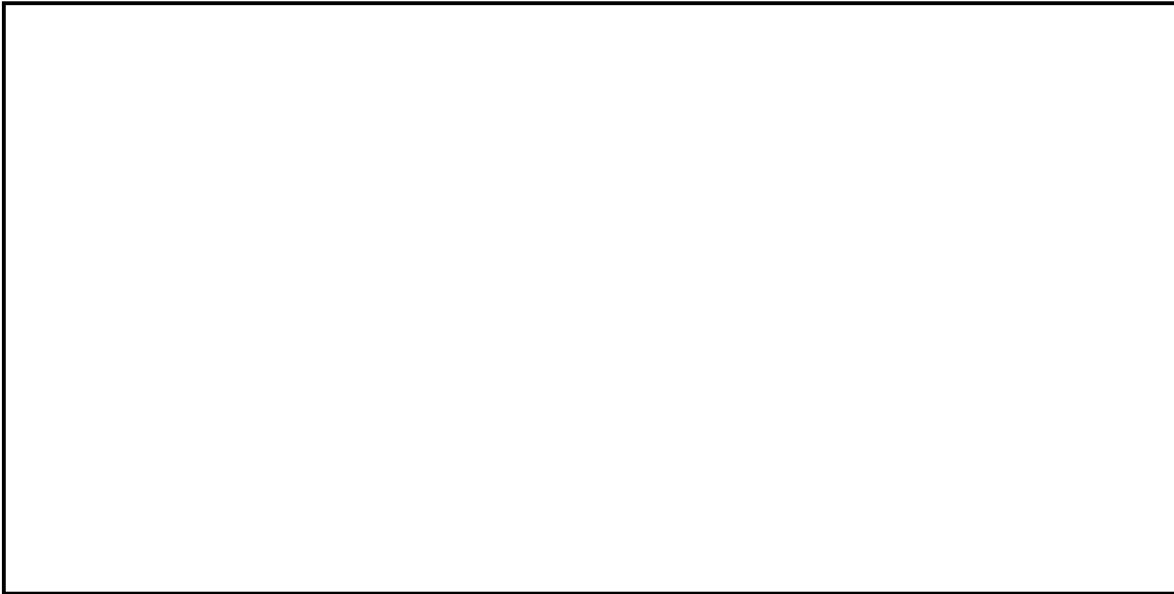
Edwards suggested a program to the DCI which he stated would not involve the acquisition of additional personnel resources. 147/ He pointed out that the security files of most Agency employees were being reviewed for various reasons more frequently than once every five years. On these occasions, the date and scope of the prior investigation would be noted, and reinvestigations initiated if appropriate. This Edwards proposed to supplement by obtaining a list of Agency employees and their respective EOD dates from the Office of Personnel. As time permitted, the review of individual files based upon OP's listing would also be used to determine if reinvestigation of the employee should be initiated under the five-year criterion. These reinvestigations would consist principally of updated national agency, police, and credit checks, and inquiries conducted in the vicinity of the employees' residences unless other factors reflected the need for a more comprehensive reinvestigation of the individual. The DCI approved Edwards's suggested program.

Probably due to the pressure of regular business, however, the program did not progress at a rapid rate. In November 1960,

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consequently, [] requested an adjustment to the OS T/O. The DDS concurred in the program as outlined by [] but suggested that OS might be able to undertake the additional activity without further increase in the T/O. The IG's comments were extremely critical, noting that national survey groups had suggested such a program as early as 1955* and that PFIAB, following its establishment in January 1956, had been advised that such a program was underway in CIA. The IG concurred in the DDS suggestion that OS absorb all of the additional cost of the program. 149/

* IG was referring to the Doolittle Committee report which had included a similar recommendation. (See p. 213, below.)

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After taking his "lumps" in a true gentlemanly manner,

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AT [] proceeded to establish a more regularized reinvesti-
gations program. [] was revised to

include the following provision related to the reinvestigation
of employees:

The Director of Security shall cause a continuous review of employee files. Normally this review should be made when there is a pending change of status of the employee but in every case on a cycle of at least five years, and will be followed by an appropriate reinvestigation. Reinvestigation shall be tailored to meet the cover, operational, and administrative considerations affecting the employee and the Agency. 150/

An October 1963 IG survey, specifically limited to the subject of personnel security, noted that the OS reinvestigation program had been underway for two years and was a sound innovation. 151/

The program supplemented the reinvestigations resulting from regular reviews of accumulated security files, from major changes in assignment, and from changes in the employee's clearance status requiring access to special formal compartmented sources of information. The program was going slowly because of the press of current work; it was pursued during slack periods, and set aside

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The IG opined that the near-zero rate of unfavorable findings suggested that the reinvestigations program could safely be pursued at the present level of effort.

Based upon an August 1965 recommendation of the Chief, Clearance Branch, two additional professionals and one clerk-typist were added to the branch's T/O to form a new RIP (Reinvestigations Program) Section, and thereby provide more centralized direction to the program, and hopefully raise the overall monthly



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of cases completed under RIP for the years 1961 through 1970.

The RIP program has developed surprisingly little questionable information concerning Agency employees. One case developed



figure does not agree with statistics provided in Table 10. It is posited that the IG may have included reinvestigations conducted prior to 1961.

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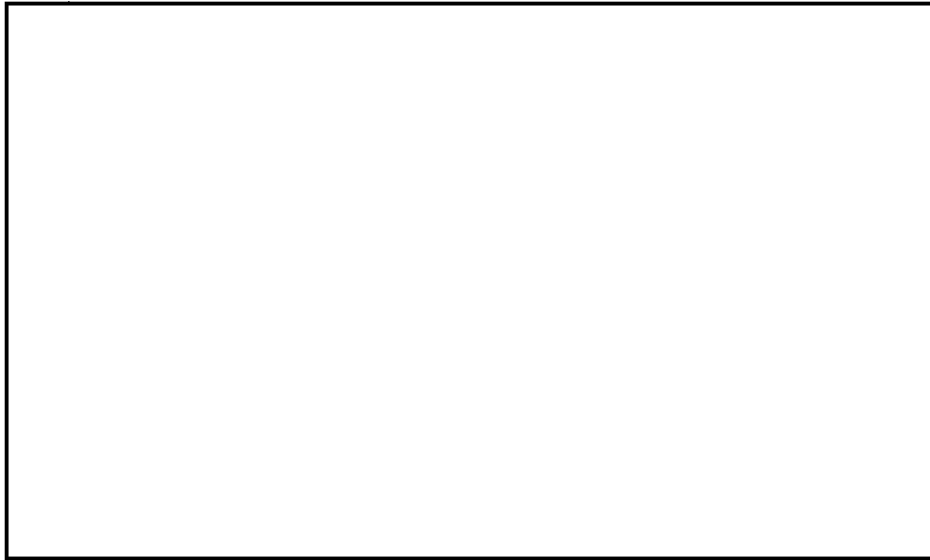
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Table 10

Reinvestigation Program Cases Completed

1961-70



(a) During 1961, 1962, 1963, and 1965, because of the demands of regular business, RIP was pursued for only seven months of the year.

(b) Beginning in 1966, statistics were compiled on a fiscal, rather than a calendar year basis.

(c) As of April 1971, security files of employees who had EOD in October 1965 were being reviewed for reinvestigation against the five-year criterion. Additional cases were being reinvestigated for other causes: problem cases, cases requiring security clearance certification to other Federal agencies, or compliance with the provisions of DCID 1/14 related to intelligence-community-wide uniform standards for access to special compartmented intelligence source information. An additional RIP requirement -- resulted from an April 1971 OS survey of GSA employees assigned to Agency buildings.

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of problem cases. There can be little doubt, however, that knowledge on the part of employees that they are subject to reinvestigation in many instances causes them to behave in a more circumspect manner.

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Although arriving at an appropriate DDP-OS division of CI labor was a relatively easy matter to accomplish, the development of an overall awareness that the Agency's total security protection required extremely close coordination between OS and DDP was the subject of a slow process of evolution. CIA's counterintelligence program was also the subject of a 1954 recommendation of the Doolittle Special Study Group:*

5. Insurance of the closest possible coordination of the counterespionage activities of the covert services with the overall counterintelligence activities of the Office of Security to prevent, or detect and eliminate, any penetrations of C. I. A. **

In commenting on this particular Doolittle recommendation to the DDA on 10 December 1954, the Director of Security stated:

Steps are now being taken with the newly designated Chief of Staff C/FI/DDP to effect the closest possible coordination. This Office is quite optimistic in

* See I, C, 2 p. 65, above, concerning the Doolittle group.

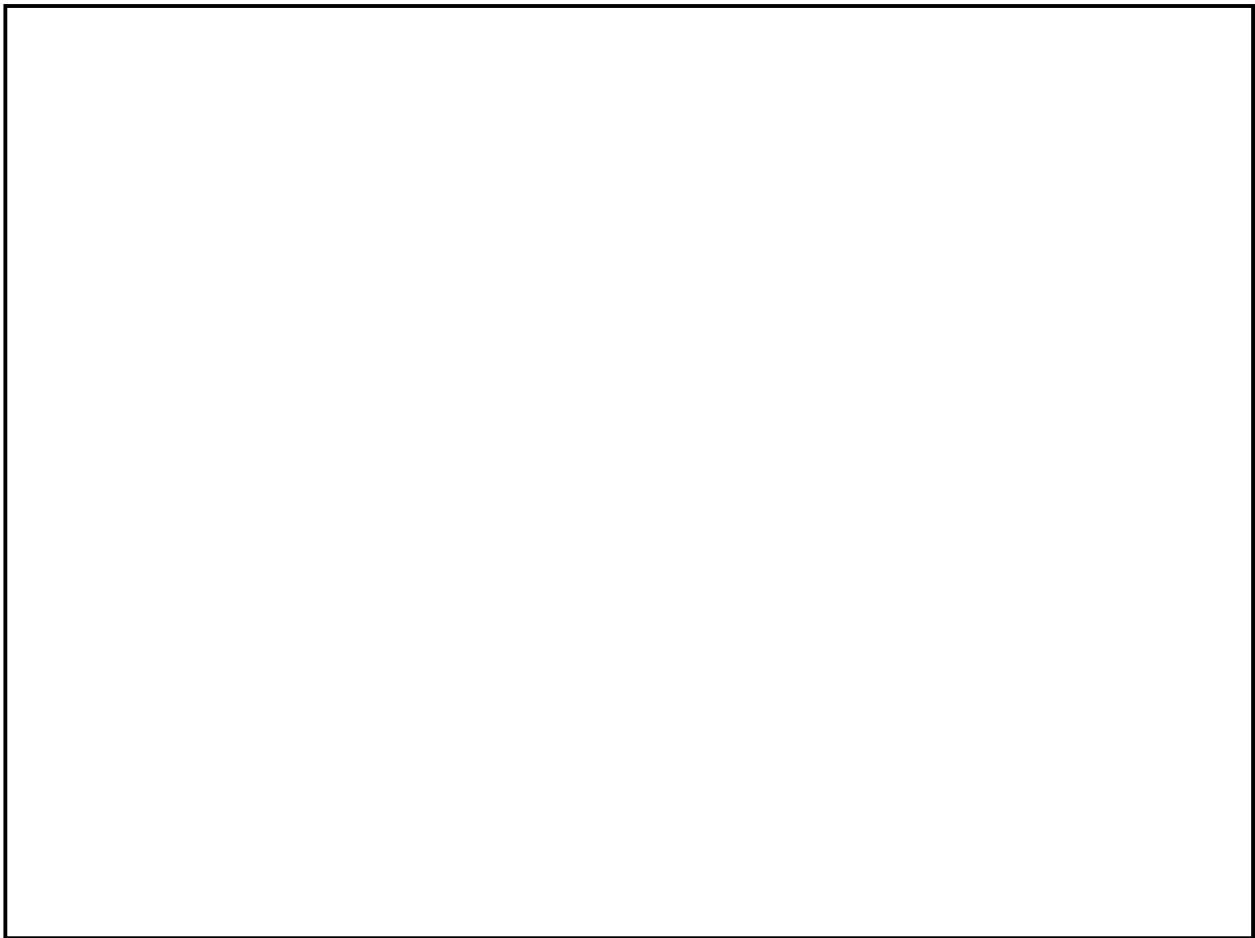
25X1 ** As previously stated, [] was also a member of the Doolittle group -- the author invites the reader's attention to the similarity of wording and punctuation contained in the 1952 [] and the 1954 Doolittle reports.

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anticipation of effecting a more satisfactory degree
of coordination between the two offices. 160/

As the Agency matured, and as personnel and the old Clandestine
Services' organizational philosophy of complete autonomy changed,
there gradually evolved a situation of more complete interchange of
CI information between DDP and OS as necessary to the full accomplish-
ment of the mission of each.

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Even within OS, however, there has been a division of labor related to CI protection of Agency personnel. DDP's CI Staff

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[redacted] officers under the DD/IOS to explore

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[redacted] leads related to CI matters within its area of jurisdiction. In addition, there were the voids in total CI

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protection of personnel which have been described above. Because the security clearance actions concerning personnel used in these activities were the responsibility of DD/IOS, DD/IOS organization from the early 1950's to 1965 included small CI organizational "desks," "branches," or similar units.

A 1965 survey of OS made by OS personnel recommended that CI functions performed by the CI Support Desk of the Operational Support Division under the DD/IOS be transferred to SRS and that IOS SD/I Branch provide a channel to the [REDACTED]

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[REDACTED] requirements in support of SRS's total CI effort.* 163/ This survey recommendation was approved and implemented. SRS, itself, has undergone several minor internal reorganizations; today (1972) it consists of three Branches: Foreign Intelligence Operations, Liaison and External Operations, and Special Activities Operations.

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* By and large, SRS has historically used the field offices to pursue most of its [REDACTED] investigative leads; in far fewer cases, SRS personnel themselves have traveled to interview witnesses, particularly where the matter under investigation required the interviewer to have substantial knowledge related to the case.

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Another area of SRS activities concerned liaison with police department intelligence and morals divisions, which frequently provided much information not available through a straightforward police check procedure. Continuing liaison with polygraph offices of Federal departments and agencies should also be included in this type of activity. Again, because of the inherently sensitive nature of such operations they cannot be fully described here; it is important for the reader to understand, however, that lacking any firm, formal bases for appropriate quid pro quo, SRS's activities in this area were principally dependent upon the establishment of sound, close personal relationships with the officials involved. An additional benefit frequently resulting from these relationships was SRS's ability to obtain police cooperation in preventing unfavorable publicity resulting from the actions of some Agency employees. SRS relationships with Federal law enforcement and security investigative organizations were additionally beneficial, because such organizations follow a practice of holding close information related to matters which are the subjects of current and continuing investigation, and

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will disclose such information only to officials in whose discretion they have the utmost confidence. Information related to former Agency personnel who were in contact with Soviet Embassy officials (cases described in the following section), for example, was obtained from another Federal agency on such a basis.

Another aspect of SRS work -- begun in 1965 -- was its biweekly preparation of the SRS Information Digest. The Digest was issued as a continuing source of background information for personnel of OS, although limited courtesy distribution was also provided outside the Office. It was compiled from official documents originating both within and outside CIA; from publications, some of which reflected the Communist and other extremist points of view; and from other sources. The objective of the Digest was to provide OS professional employees with continual, updated information concerning the activities of radical individuals, organizations, and movements. 166/

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[REDACTED]

[REDACTED] In addition to other overall Agency uses, this list

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was screened for former CIA problem employees and others whose travel to such areas might possess implications in terms of the security of the Agency. 167/

The work of organizational units such as SRS is a necessary adjunct to any viable personnel security program. Much effort is expended in the investigation of potentialities which more often than not prove to be groundless. Nevertheless, the stakes involved in the possible subversion of a single CIA employee are extremely high.

G. The Terminated Employee

The question naturally arises as to what can be done about terminated, sometimes disgruntled, employees who persist in their efforts of refusing to comply with the Agency's wishes concerning separation. Such individuals represent a continuing source of potential embarrassment and compromise to Agency activities. There are natural limitations governing the extent to which their activities can be monitored on a continuing basis;

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nevertheless, a considerable amount of OS effort is consumed in this manner in those cases where such action appears appropriate to the circumstances. To say that if the individual deliberately compromises classified information he is subject to Federal prosecution is not very reassuring, because the damage would already have been done, and the act of prosecution itself would only serve as an admission on the part of the Government to the accuracy of the information divulged. Consequently, CIA has been able to pursue the prosecution avenue in no cases to date, although action was taken for the first time this year (1972) to enjoin one former employee from publishing Agency material.*

It is also interesting to note that in another recent case not involving an Agency employee (the "Pentagon Papers" affair), the

* The case involving former Agency employee Victor L. Marchetti has been so widely publicized that it probably requires no further description here. See [redacted] for details. On 17 September 1972, the US Court of Appeals for the Fourth Circuit, Baltimore, Maryland upheld decision of a lower court granting an injunction to restrain Marchetti from publishing books or articles about CIA without prior authorization of the DCI. On 12 December 1972, the US Supreme Court declined to review the decision.

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Government's action against the principal offender is based upon illegal possession of Government property and not upon the disclosure of classified information. It is apparent that the Justice Department has serious reservations concerning its ability to successfully prosecute in cases involving the unauthorized disclosure of classified information in light of recent trends in court decisions.

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spring 1967, wherein he discussed the limitations under existing legislation to adequately protect against the unauthorized exposure of classified information.

Although the problem is not peculiar to CIA, because of the inherent sensitivity of much of the Agency's activity, the net effect has been that a number of separated Agency employees have used near-blackmail tactics to attempt to achieve their own beneficial ends. A 22 December 1961 memorandum from the Director of Security to the Agency's Legislative Counsel, wherein the former

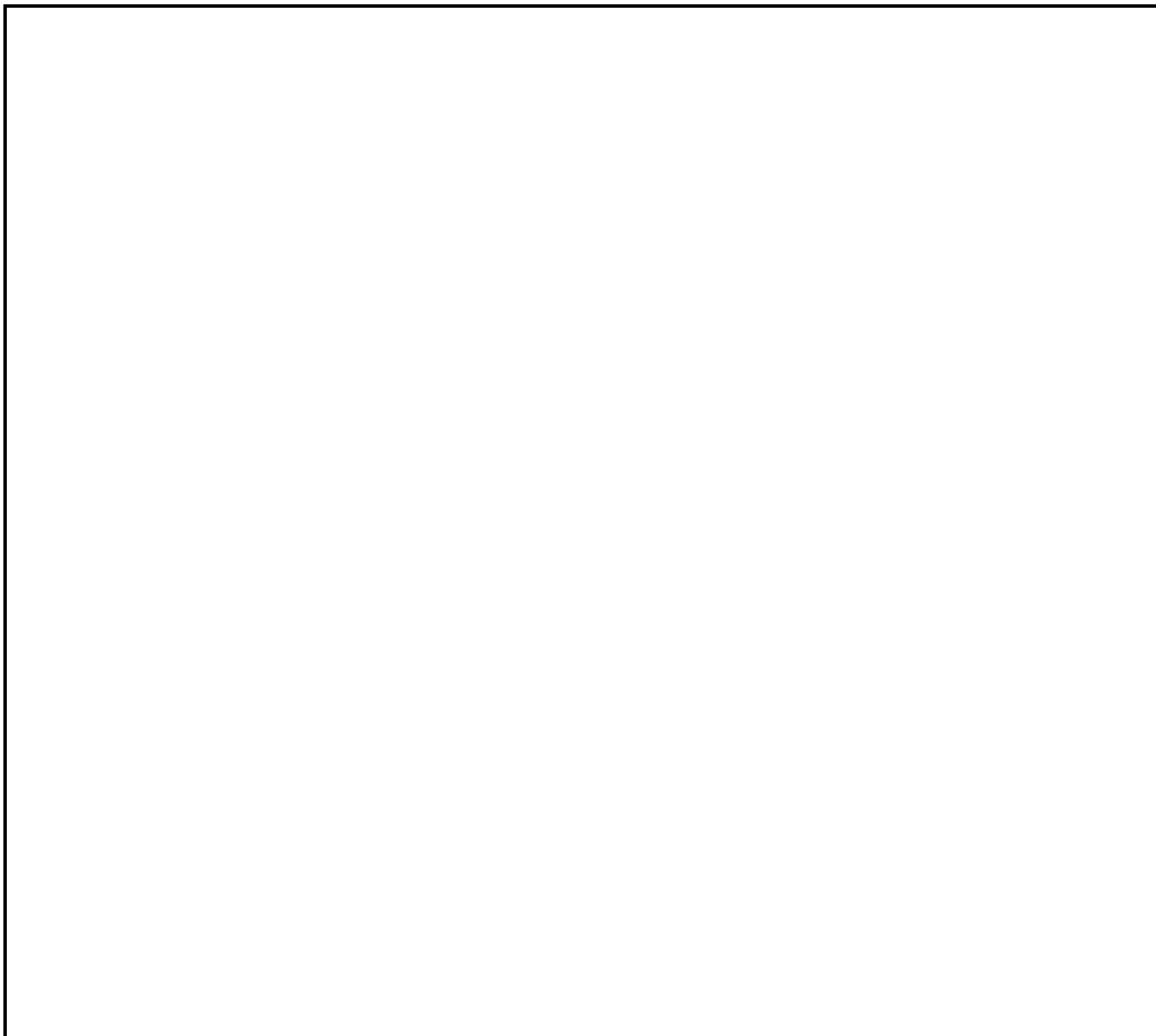
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proposed amendments to the Central Intelligence Act of 1949,
attached a number of case summaries which example this
problem*:

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IV. Later Developments in Personnel Security (1963-68)

A. Management and Organization

Following his retirement on 9 July 1963, Sheffield Edwards was succeeded as the Agency's Director of Security by Robert L. Bannerman. Bannerman served as Director of Security until 1 July 1964 when he was succeeded by the present incumbent, Howard J. Osborn.* The August 1965 reorganization of OS effected by Osborn essentially created three Office Directorates where previously there had been only two (see Figure 2).** In the area of personnel security, a new OS Directorate was created -- Personnel Security -- under a Deputy Director of Security for Personnel Security (DD/PS). The PS Directorate now consisted of three Divisions: PSD, IRD, and the Security Records and Communications Division (SR&CD), which had been renamed from SRD and transferred out from under the DD/IOS.

* See OS-1, An Overview, IV, A, for a more detailed description of OS Management progression. Mr. Bannerman was named Assistant Deputy Director for Support.

** OS-1, IV, B, provides further details concerning this reorganization.

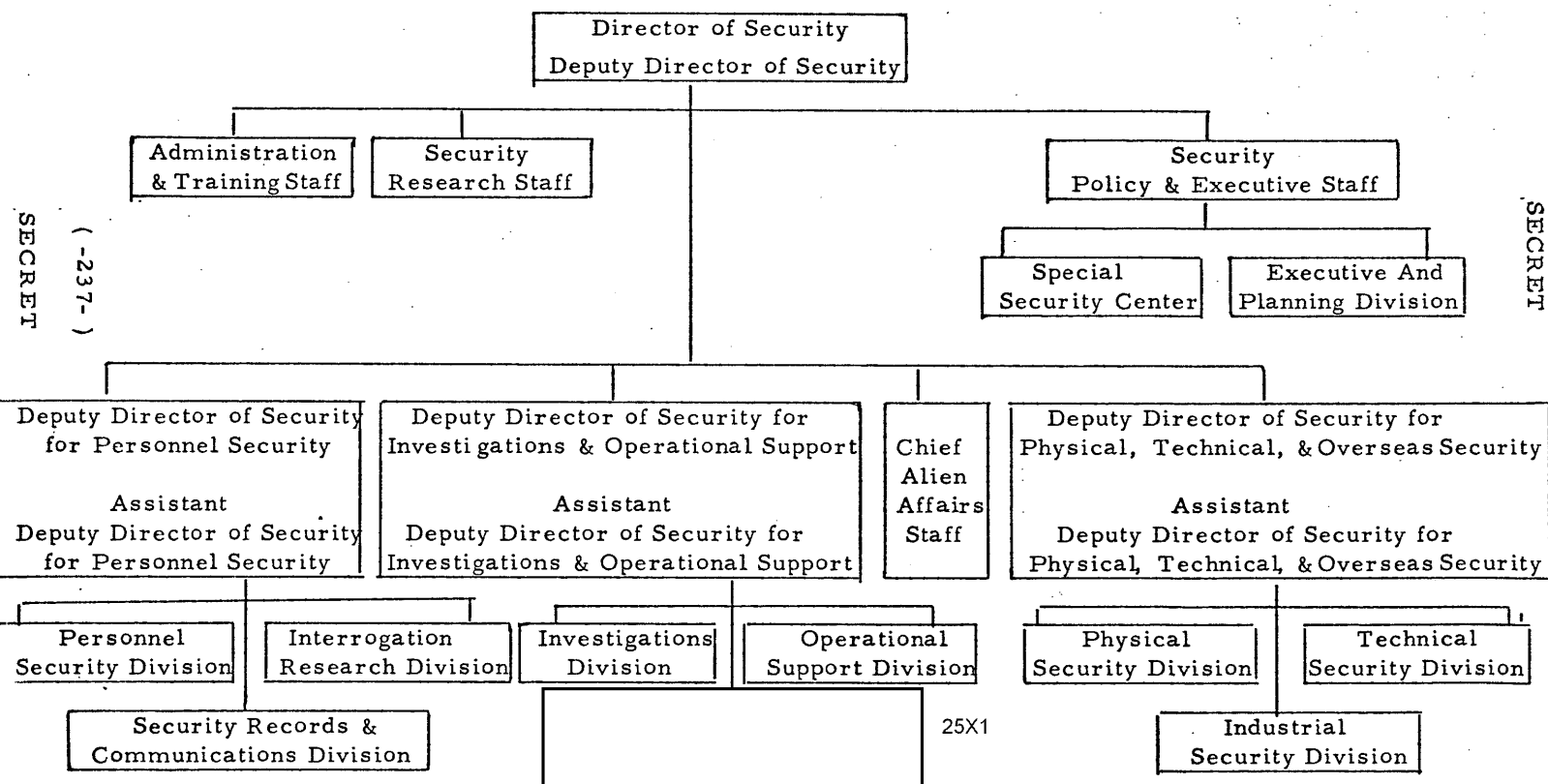
Figure 2

Organizational Structure
Office of Security
August 1965

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Under the DD/IOS, the Investigations Division (ID) remained as previously constituted, servicing covert security cases, and providing the sole channel to the [REDACTED]

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[REDACTED] investigative support.* For a time, PSD -- under the DD/PS -- continued to be divided into two Branches: the Employee Activities Branch (EAB) and the Clearance Branch (CB). CB was responsible for processing security clearances of all cases categorized as either overt or semi-covert. Under the then-current terms of reference, however, these included but were not limited to the following categories of personnel:

1. staff employees
2. contract employees
3. military assignees
4. consultants
5. staff agents
6. summer employees
7. GSA guard, charforce, and maintenance personnel
8. GSI (cafeteria) employees
9. various other CIA Building concessionaires

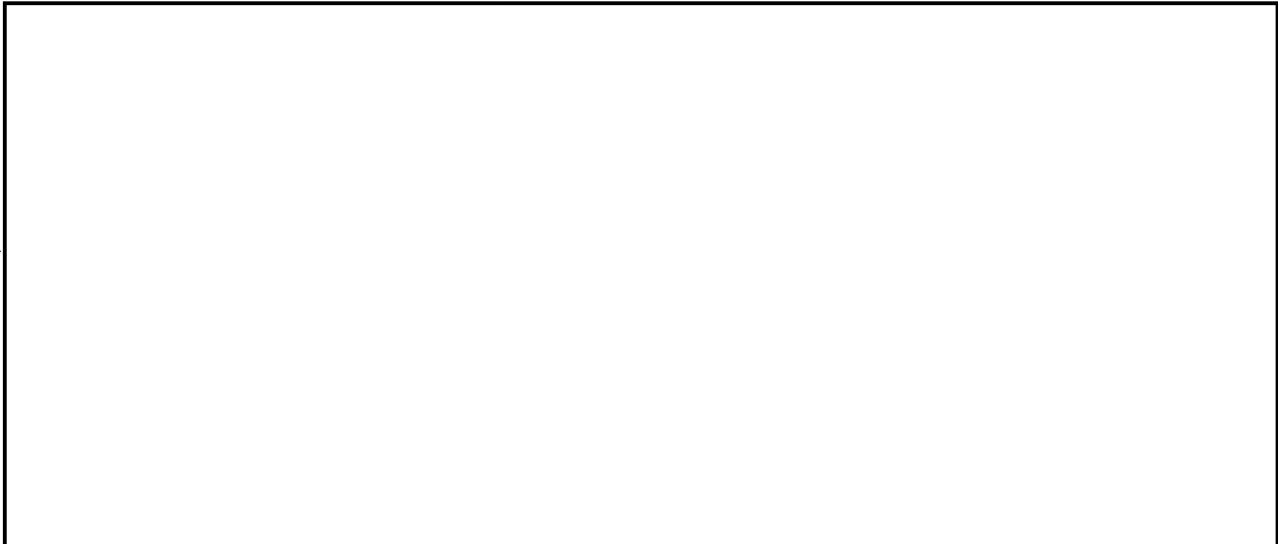
* The third of the three OS Directorates was the newly created Directorate for Physical, Technical, and Overseas Security (DD/PTOS), which took over the physical and technical security functions previously performed under the prior DD/PPS.

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Fiscal year 1966 saw PSD undergo an informal, internal reorganization, which resulted in a division of labor between two Branches -- Clearance Branch (CB) and Clearance Support Branch (CSB) -- involving work previously performed entirely by CB.* 172/ CB continued to process new staff and contract employee cases, consultants, FBID personnel, NPIC assignees, summer employees, and several other minor categories of cases. CSB handled personnel security actions related to the on-board employee -- for example, reinvestigations, special (Q, COMINT, et al.) clearances, and the processing of

* Now there were three Branches under PSD: EAB, CB and CSB.

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marriage cases. Additionally, CSB had responsibility for security clearance of all contractors' employees (excluding

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GSA guard,

charforce, and maintenance personnel; C&P Telephone Co. employees; GSI cafeteria workers and other concessionaires; OTR

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non-staff personnel. 173/ CB was divided into two sections:

Preliminary Review and Appraisal.* CSB was divided into three sections: Reinvestigations, Employee Actions, and Support Case.

The number and character of the ID Branches remained throughout

* Under a subsequent (1970) reorganization of CB, the Branch was redivided into three sections: Professional Evaluation, Clerical Evaluation, and Support Evaluation. The rationale for this change was to permit the entire processing of individual cases to be controlled by one man from opening to closing, rather than splitting the investigative requirements and assessment functions.

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1963-68 as they had been previously reconstituted in September 1962.*

B. Trends and Influences

The overall security clearance and/or approval caseload remained high during the 1963-68 era, although the caseload resulted from new and different Agency activities and operations, and the number of cases requiring the conduct of full background investigations, except for 1964, showed a steady increase.

Table 11 provides statistics related to OS clearance processing for the years 1963-68 inclusive.

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* A later reorganization of 5 January 1970 reduced the number of ID Branches from four to three: Overt, Covert, and Special Clearance. The Overt Branch provided PSD's

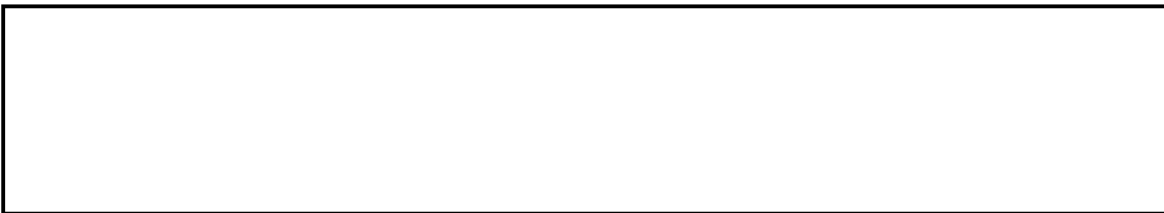
Special Clearance Branch supported DDS&T's participation in the latter programs. In addition to arranging for a more appropriate division of labor, ID's internal reorganizations have historically been designed to make the system more responsive to changing Agency requirements. 174/

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volume access to classified Agency information, were in effect provided staff-like access, and suggested that their security processing should be as comprehensive as that afforded CIA staff employees. Consequently, arrangements were made with



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employees is provided in another volume in this series.*

Because the Agency's Langley headquarters building soon proved to be inadequate, CIA was forced to lease additional space in commercial buildings through GSA to handle the overflow of its personnel. Maintenance, charforce, and similar house-keeping services in these facilities were provided by the buildings' owners. This necessitated that arrangements be made to perform a limited security screening of such personnel. This matter was complicated by the fact that such personnel are employed and leave

* See OS-9, Polygraph Program, III, B, 3 and 4.

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on short notice and with considerable frequency; consequently, the security checks in most instances were performed after the fact. If unfavorable information was developed, the building owner was prevailed upon either to terminate the employee or limit the performance of their work to non-Agency areas.

During an era when Agency personnel procedures and categorizations were bringing about a gradual erosion of the classical definitions of the terms "employee" and "agent," OS continued to strive for maintaining a degree of integrity in its applied personnel security standards and processes through insistence that the individual's degree of access to CIA sensitive information and activity, facilities, and personnel be clearly

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Unsuccessful in its efforts to influence the revision of Agency regulations defining personnel categories in terms more specific to the various levels of security access, OS had initially attempted to solve the problem through an internal reallocation of the security clearance processing caseload. It soon became apparent, however, that these initial measures were not working, as evidenced by the following quotations from a 24 June 1964 internal OS memorandum related to this matter.

A. CONTRACT EMPLOYEES (TYPE "B")

On 30 October 1961, the Director of Security designated the Personnel Security Division as the responsible Security component for handling Contract Employee Type "B" clearance actions. Prior to October 1961, Type "B" Contract Employee cases were handled by IOS. From information available, it appears that the changeover was due in part to the confusion that existed in the Office of Security over whether a problem case was a Type "A" or Type "B" matter. While most Type "B" cases are clear-cut nonstaff-type actions, occasionally a Type "B" employee must have access to Agency offices either at Headquarters or overseas. This deviation is

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individual who meets staff employee security standards and who has been granted security clearance to perform staff-type duties at Headquarters or other CIA installations.

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Type "B" is defined as a Contract Employee not required to meet full staff employee security standards and who does not have access to CIA Headquarters or other official Agency installations or to classified material, except under conditions specifically set forth at the time of the request for security approval.

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Based on [] and the experience gained over the years, it is believed that the Office of Security can now determine when an individual is a Type "A" or Type "B" Contract Employee. The problem now is something different.

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The agreement reached on 30 October 1961 between [] stated that "Effective 30 October 1961, PSD/PPS assumed responsibility for the handling of all clearance actions in Contract Employee Type "B" cases. It was agreed that in true agent-type cases, even though the subject will be a contract employee, the clearance action will be handled by ID/IOS." The problem is what is a true agent-type contract employee case?

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[] advised the writer that a true agent is the rare individual who is the last man on the end of the line targeted against the opposition for the purpose of obtaining FI data. All other operational types are in support of operations and since they are not true agents, they are processed by PSD/PPS for Type "B" approvals.

[] Chief, Clearance Branch, PSD who receives all requests for Contract Type "B" approvals advised the writer that all Type "B" cases are the responsibility of PSD/PPS. He is of the opinion that a true agent cannot be a contract employee.

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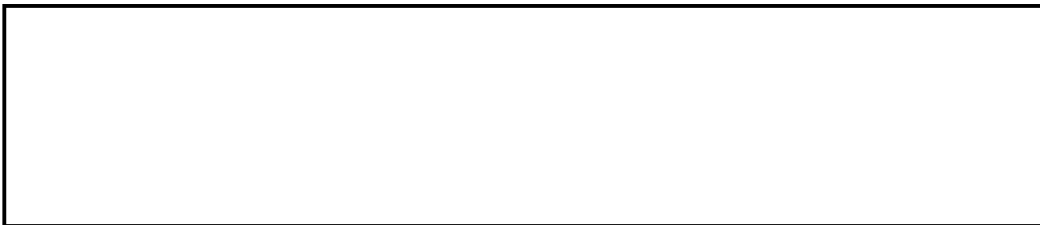
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From the discussion above, it is apparent that confusion still exists within the Office of Security in Contract Employee type cases. Unfortunately, this confusion has become known outside the Office of Security and the requesting component sometimes plays one Division against the other. Clearance criteria often varies, especially in the area of provisional clearances ...

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B. STAFF AGENTS



Prior to 30 October 1961, IOS was responsible for handling Staff Agent clearances and problems related to Staff Agents. Clearance responsibility was assigned to PSD/PPS in October 1961 in connection with the Director of Security's "tidy-up program."



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Some DD/P components comply with this regulation and the Covert Support Section, Special Activities Branch,

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25X1 of the Operational Support Division/IOS approves or denies the request for the Office of Security.

Contrary to [] the Personnel Security Division also honors requests from DD/P components for the admission of covert personnel including Staff Agents to Agency facilities provided the individual meets clearance standards.

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From a management standpoint, Office of Security responsibility for administering [] should be centralized ...

C. CAREER AGENTS

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[] defines a Career Agent as "an individual who, having demonstrated his operational value to CIA over a period normally of not less than three years for United States citizens and of five years for foreign nationals, has been engaged on a career basis for the purpose of performing covert activities for an extended period of time. . . . While not a Staff Employee, the Career Agent is an employee of the US Government by virtue of his relationship with the Agency and is normally entitled to benefits and privileges commensurate with, but not necessarily identical to, those granted to staff personnel."

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however, it is estimated that at least half of the present Career Agents are former Staff Employees.

The trend of converting Staff Employees and Contract Employees Type "A" to Career Agents is making the term Career Agent meaningless. The Career Agent category was originally established to take care of Contract Agents who were performing operational duties outside the United States under durable cover. Unlike a Staff Agent, conversion to Staff employment was not contemplated or provided for in the initial arrangements. The Career Agent category is now being used as an administrative mechanism to circumvent slotting and to take care of Staff Employees who because of marriage to foreign nationals are no longer eligible for staff employment.

Attachment "B" is a review of several Career Agent cases. From this review it has been ascertained that Career Agents generally fall into the following categories:

(1) Former Staff Employees who no longer meet staff standards based on marriage to a foreign national.

(2) Former Staff Employees who have been converted to Career Agent status for slotting and/or other administrative reasons.

(3) Former Contract Employee Type "A" individuals who have been converted to Career Agent status for long-term tenure. /Most of these individuals have been turned down for Staff Employee status./

(4) Former Contract Type "B" individuals who have been converted to Career Agent status for long-term tenure. /These individuals have generally been turned down for Type "A" status./

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(5) Contract Agents who have been converted to Career Agent status in order to have an employee relationship with the US Government. [These individuals are the true Career Agents.]

The security danger in the Career Agent field is the grouping together under one employee category individuals who do not meet Staff Employee standards (Contract Agents, Contract Employees Type "B") with individuals who do meet Staff standards (Contract Employees Type "A" and former Staff Employees) and then based on the label "Career Agent" allowing them to work in official Agency installations and/or perform staff type functions... the "label" that is tagged on an individual is not so important as what the individual is actually doing. If the Office of Security knows the duties and relationship an individual has to the Agency, then an appropriate clearance should be possible, also, control over the individual should be possible. . . 177/

OS's answer to the problem was again an internal revision of division of case processing responsibility, which in general turned on the term "staff-like access." On 21 November 1966 the Director of Security approved a PSD-ID division of labor to be governed by the following criteria:

Criteria for Processing by PSD

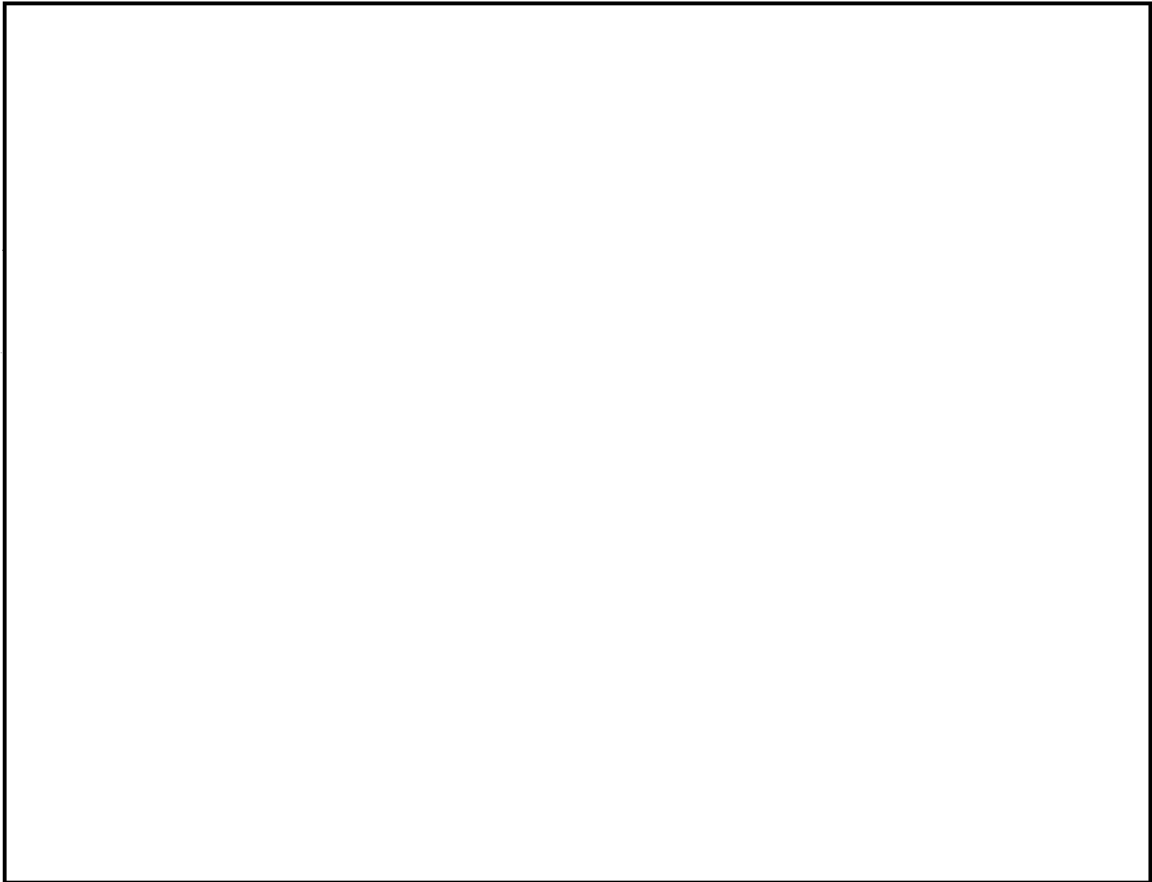
1. Individual has broad access to CIA information.
2. Individual has access to CIA Buildings where staff employees work.
3. Performs staff employee type duties.
4. Open contact with CIA as employer.


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As a result of this division of labor, words such as "agent," "clandestine," and "covert" no longer possessed any relevancy in terms of whether the cases were processed by PSD or ID, since many "career agents" and "staff agents" and personnel involved in clandestine and/or covert operations were provided staff-like access and therefore were required to meet the same standards as prescribed by  relative to CIA staff employees. In order to clarify the

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employee category was one where OS had been successful in its attempts to amend the 1957 regulation to include the further categories of A and B types to distinguish between those types provided "staff-like access" and those who were not.

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Chief, FE Division agreed to a review by OS of the security status of all Type B contract personnel being provided staff-like access. Following the review, those who met the standards would be converted to Type A status, and those who did not would either be terminated or given duties not requiring the level of access.

It certainly would not be fair or even accurate to state that such situations resulted from a lack of integrity on the part of operating personnel; usually they resulted from some non-deliberate omission or, in other cases, from a temporary accommodation to expediency. It is, nevertheless, an area where OS has found it necessary to periodically step forward to "kick the tires" in order to keep the Agency's personnel security program operating on a sound basis.

The author is of the opinion that although it is appropriate for OS to perform in the role of the devil's advocate concerning this problem, the system must continue to depend principally upon the integrity and diligence of the personnel in the Agency's operating

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components to request the applicable level of security clearance and to insure that the individual's degree of access is correspondingly limited. Undoubtedly career security personnel assigned to Agency stations and bases abroad and to other Headquarters offices will continue in their efforts to police the matter, but it is the operating components -- and Agency activities overall -- that will suffer the effects of insecure practices. The overall record would appear to indicate that with the passage of time there have been fewer instances of expediency prevailing over caution.

C. External-CIA Influence

The DCI's influence on the security practices of other US Government organizations engaged in the intelligence mission is amply demonstrated in other volumes in this history. For the purposes of this history it is sufficient to say that, despite the Director's legislated responsibility for the protection of intelligence sources and methods, his influence on the security practices of other Federal departments and agencies was slow in developing, and even today is severely limited by the practicalities of command relationships. Despite these severe limitations, however,

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and despite the fact that it probably was not the intent of the framers of the CIA enabling legislation that his influence in security matters extend beyond CIA, the record is clear that the DCI has become the titular leader of the US intelligence community for security matters as they concern intelligence sources and methods.

In the field of personnel security there were some notable evidences of this even prior to the establishment of the USIB Security Committee (IBSEC) in March 1959. As early as 1952, OS personnel had provided advice and guidance to the National Security Agency (NSA) at the time that NSA was setting up a polygraph screening program. Still another influence began in 1954-55, resulting from cooperative intelligence operations -- such as the U-2 project -- wherein the Agency shared responsibilities for the programs with other departments and agencies, with CIA having overall security responsibility. Since many of these activities, however, are still subjects of special compartmented

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systems of security control, detailed discussion of these programs has been reserved for another volume in this series.*

In April 1958, Special Assistant to the President Gordon Gray wrote to the DCI expressing concern over recent news articles which appeared to contain information derived from sensitive US intelligence sources. Gray's concern resulted in the inclusion of the following section in the 15 September 1958 issuance of NSCID** No. 1 (new series):

5. The Director of Central Intelligence shall call upon the departments and agencies, as appropriate, to investigate within their department or agency any unauthorized disclosure of intelligence or of intelligence sources and methods. A report of these investigations, including corrective measures taken or recommended within the departments or agencies involved, shall be submitted to the Director of Central Intelligence for review and such further action as may be appropriate, including reports to the National Security Council or the President.

In February 1959 the DCI proposed to USIB the establishment of a Security Committee of the Board (IBSEC) composed of

* OS-8, Compartmented Information Security Practices, September 1972.

** NSCID: National Security Council Intelligence Directive.

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representatives of Board members, to assist it in its responsibilities under paragraph 5 of the NSCID. The proposal was approved by USIB and IBSEC was formally established by DCID 1/11, dated 24 March 1959.*

The principal impetus resulting in the establishment of IBSEC, therefore, was concern expressed by Special Assistant to the President Gordon Gray related to a plethora of press stories apparently based on information obtainable only from classified intelligence sources. Consequently, although the Committee's listed functions included making recommendations to USIB concerning security standards and procedures for the protection of intelligence, its principal early preoccupation was the investigation of specific evidence of security leaks contained in news reportings and the recommendation of controls or dissemination of intelligence information. Five instances of possible



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unauthorized disclosure were assigned by the DCI to IBSEC for investigation during the first year of the Committee's existence.

On 6 September 1960, two NSA employees, Bernon F. Mitchell and William H. Martin, held a press conference in Moscow and announced their defections to the USSR. On the following day the DCI directed IBSEC to outline existing personnel security procedures and methods affecting personnel of USIB member agencies engaged in classified intelligence activities or having access to intelligence information, and also directed it to consider and submit recommendations for improvement of personnel security standards. 181/

IBSEC's report on existing personnel security procedures was submitted to the Board on 27 September 1960; it consisted of separate descriptions of their personnel security programs prepared by each of the participating members. 182/ In a separate report on 23 September 1960 IBSEC recommended proposed legislation to:

- a. establish injunctive authority to enjoin acts or practices which constitute an unauthorized disclosure of intelligence and intelligence methods.

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b. establish an Official Secrets Act designed to overcome certain limitations existent in present espionage statutes.*

c. grant to those departments and agencies desiring it for the protection of intelligence sources and methods, similar statutory discretionary authority as that given to the DCI to dismiss employees. 183/

As a result of this recommendation, a USIB-member ad hoc committee (chaired by CIA's General Counsel) was convened to study existing espionage legislation and to recommend new legislation designed to better protect intelligence sources and methods and information from unauthorized disclosure. It soon became apparent, however, that no consensus-proposed legislation could satisfy the unique requirements of all the participating departments and agencies. The ad hoc committee, although never formally disbanded, ceased functioning before the close of 1961. Other recommendations contained in IBSEC's report of 23 September 1960, that

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principally from an early 1964 PFIAB study of the case involving



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Soviets for several years. PFIAB recommended improvement and more uniformity in personnel security standards throughout the intelligence community, and IBSEC was given the task. Additional impetus was provided by the 1965 arrest of Sgt. Robert L. Johnson of the Armed Forces Courier Service on charges of espionage.

But progress was exceedingly slow because of the considerable expense involved in expanding existing scopes of security investigations to the specifications of the new criteria. Consequently, it was not until 23 June 1967 that an agreed-to version of DCID 1/14, subject: Uniform Personnel Security Standards and Practices Governing Access to Sensitive Compartmented Information, was approved.

Although DCID 1/14 prescribed a high level of personnel security criteria, it did not, for example, make use of the polygraph a mandatory procedure applicable to personnel provided access to special systems information. DCID 1/14 was nevertheless a major

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step forward. As an example of the extent of this directive's application: as of December 1966 when DCID 1/14 was still under deliberation, it was pointed out that more than 115,000 individuals were then cleared for COMINT and 53,000 for other compartmented intelligence information.

Recommendation No. 18 of the Joint Study Group was also considered by USIB, and on 18 July 1962 Guide Practices and Procedures for Counterintelligence and Security of Overseas Personnel and Installations was approved.* It recommended procedures related to personnel security overseas and included such items as area orientations, controls on private foreign travel of Government employees, briefings on countermeasures to penetration and surveillance techniques, restrictions related to outside (non-official) activities and association with foreign nationals, controls related to marriage of employees to aliens, supervisory responsibility vis-a-vis employee conduct, employment of foreign nationals, the designation of all positions concerned with intelligence as sensitive

* USIB-D-1.5/24. 184/

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positions within the meaning of the provisions of EO 10450 and a five-year reinvestigation cycle for employees.

Also as a result of recommendation No. 18 of the Joint Study Group, IBSEC submitted through USIB regular annual reports to PFIAB of measures taken by members of the intelligence community to enhance the Nation's counterintelligence posture. Another of IBSEC's contributions in this area was its 1966 preparation of A Study of Provocations and Harassments Against U.S. Citizens in Soviet/Satellite Countries to be used for defensive briefing purposes.

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CIA's external influence on personnel security was also enhanced by the unusual personality of former DCI John A. McCone. McCone was the first of the DCI's to attempt seriously to make more than just a nominal distinction between his dual role as DCI and as Director of the Central Intelligence Agency. Consequently he delegated to the DDCI, aided by the CIA Executive Director-Comptroller, a greater degree of responsibility for the management of CIA than had his predecessors, thereby providing himself a greater degree of independence in his role as titular head of the entire US intelligence


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community. McCone has frequently been described as a very brusque individual, quick to react, but few seem to doubt his personal courage. Despite the advice of his General Counsel that his statutory responsibilities for the protection of intelligence sources and methods had not been accompanied by any practical implementing authority beyond the confines of CIA, McCone appears to have been almost compelled to take the proposition onto himself.

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October 1963 to Secretary of Defense Robert S. McNamara, wherein he expressed concern about investigative and clearance procedures for personnel engaged in sensitive intelligence activities. 186/ He outlined CIA's program, expressed belief that the degree of CIA security success was due to these procedures, and suggested their application to all intelligence components of the DOD. Portions of McCone's memorandum are quoted below:

1. Having a continuing concern with the security of intelligence and intelligence sources and methods, I have been considering problems of the protection of security in the intelligence community. It is abundantly clear that I am responsible for all aspects of security

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within the Central Intelligence Agency, and it is also clear that Executive Order 10450 places responsibility on the head of each department and agency for establishing and maintaining within his department or agency an effective program to insure that employment of personnel is clearly consistent with the interests of national security. In addition, under my statutory responsibility for protection of intelligence sources and methods contained in section 102(d) of the National Security Act of 1947, as amended, and as further developed in NSCID No. 1, I have a certain responsibility with regard to the security programs of the intelligence community generally. In connection with this overall responsibility, I am setting forth below certain conclusions resulting from my review of the Central Intelligence Agency's personnel security procedures and practices for your consideration in connection with security programs established by you for the Department of Defense.

2. *

3. It is my belief that the high degree of security maintained in the Central Intelligence Agency is the result of the system outlined above. Not only the Central Intelligence Agency, but the intelligence organization of the Government as a whole, is especially sensitive and a primary target of Soviet and other Bloc intelligence efforts. I, therefore, recommend your consideration of the conclusions set forth above and the application of the security practices outlined therein to intelligence activities and components within your department.

* Paragraph 2 is not quoted because it consisted of a very lengthy discussion of CIA personnel security practices, including Agency use of the polygraph.

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4. An example of the general problem is the National Photographic Interpretation Center which functions as part of the Central Intelligence Center but with personnel assigned from other interested departments and agencies, I have recently determined that all military and civilian employees of the Department of Defense assigned to the National Photographic Interpretation Center shall be security investigated and processed in the same manner as CIA personnel. This action will include the voluntary participation of such personnel in a polygraph interview.

5. It is my personal conviction as a result of observations of security procedures of the military establishment over a period of 20 years that these matters are handled with care and skill considering the very large numbers of persons involved. What I am suggesting here, however, is that the personnel working in centers where particularly sensitive information exists might properly be subjected to even more exacting personnel security procedures than exist in the balance of the military establishment. This is the philosophy upon which the CIA personnel security program was founded, including the treatment of military personnel seconded to us. It is also the basis upon which I have reached the conclusion that the National Photographic Interpretation Center should follow the same procedures as are applicable to CIA and have so ordered. I should very much appreciate any comments you might have with respect to the possibilities for other improvements which might be made in sensitive areas within the intelligence community or, for that matter, throughout the intelligence community as a whole.

McCone was not successful in his attempts to incorporate the use of the polygraph for security screening on a broader basis throughout the DOD, because in the meantime several Congressional committees

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were investigating use of the polygraph in the Federal government and were commenting unfavorably concerning the procedure.* He was, however, successful in obtaining DOD agreement that military personnel assigned to the National Photographic Interpretation Center (NPIC) would be polygraphed by CIA's OS. ** In closing it is perhaps interesting to note that CIA's Sheffield Edwards, following his July 1963 retirement, performed consultant security services for NSA.

D. The Total Personnel Risk Philosophy

CIA's participation in interdepartmental security matters resulted in some internal benefits. The Agency's own personnel security program was undoubtedly enhanced through the community's examination of cases involving US defectors and others who had been induced to act contrary to their national allegiance. Additionally, the interdepartmental give-and-take in the coordination of proposed corrective actions resulted in a considerable

* For further details, see OS-9, Polygraph Program, III, E.

** For further information concerning the NPIG situation, see OS-9, Polygraph Program, III, B, 5.

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sharpening of the wits and the development of greater sophistication in security practices.

The author, in his research, attempted to identify discernible trends that might be attributed to this process, and he was able to identify one in particular, for which he has coined the phrase: the total personnel risk philosophy. The word "security" was purposely omitted from the phrase, because the philosophy represents a growing recognition on the part of Agency management that security, personnel, and medical considerations notwithstanding, one problem employee represents one employee problem in the total, overall sense -- or, more succinctly stated: one employee, one risk indivisible. Medical, personnel, security, and supervisory elements need to work closely together to insure that the fate that has befallen other departments and agencies does not befall the CIA. A serious psychiatric problem could become a security problem. A serious supervisory problem -- such as the disgruntled employee -- could become a security problem. The acute alcoholic might represent a potential supervisory and medical as well as security problem. The record showed that such personnel did not make good CIA

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employees -- their production and effectiveness lagged; their conduct frequently embarrassed the Agency; and the Agency was often put to the added expense and bother involved in returning them from overseas short of completion of their full tours of duty. CIA has had no known defections from its personnel ranks, but it has had its share of serious problem employees. Because of the nature of the Agency's mission, most of these, in one way or another, posed the potential for security compromise. This has been clearly demonstrated in the cases of terminated employees whose subsequent activities in various ways did benefit the opposition.

Undoubtedly, the total personnel risk philosophy was partly involved in an OMS staff review conducted during the winter of 1967-68, which was prompted by DCI interest in the adequacy of CIA medical standards and how much attention was being paid to medical recommendations. 187/ In its report, OMS recognized the existence of employees whose adjustment to the requirements of Agency service was unsatisfactory by reason of a continuing behavioral maladjustment to CIA employment rather than by

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symptoms of illness in the usual sense. While the problem behavior of such individuals led to unsatisfactory work production or was otherwise disruptive to the organization, it frequently fell short of being either work failure or some other action which at any given point in time would clearly justify termination of employment on purely medical, disciplinary, security, or other administrative grounds.

One of the impediments to the total personnel risk philosophy in CIA has been a natural reticence on the part of supervisory personnel to make a matter of permanent record the minor -- or sometimes even major -- problems they are having or have had with their employees. Sometimes the supervisor would go half-way and record the matter in the division's "soft" personnel file without introducing it into the employee's official Agency personnel file. As a result, Agency groups designed to consider future assignments of the individual -- such as the Overseas Candidate Review Panel -- were not always informed to the degree necessary to effect valid judgments. It was concern related to the "soft" files which led to the DDCI's issuance of a 1 August 1963 notice that all offices review

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their files for information to be included in OP files which could have any possible bearing on future assignments of the individual. 188/

Another impediment involved a clash of OMS and OS policy and procedure. OS, because of the sanctity it afforded security records, was able to come by information of a privileged nature concerning employees. Where such information indicated that some discreet referral to OMS might be in the best interests of both the Agency and the employee, OS rarely hesitated to take such course of action. OMS, however, felt it could act only in cases where there had been an open and official request for its assistance, and it wanted to examine such employees only if it could state that OS requested the examination -- OS naturally refused, citing Agency and Federal regulations related to the handling of personnel security information. 189/

The author is nevertheless convinced that the total personnel risk is a part of current Agency procedure. The signs are almost undetectable, but they are unmistakably present. On 24 July 1968 the Director of Security inquired of the Director of Medical

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Services concerning a procedure whereby OS files would be "flagged" in cases where OMS harbored some concern related to the individual, which would permit future OS/OMS consultation in the event of any subsequent consideration of the individual by OS. 190/ Throughout the years, the Applicant Review Panel (ARP -- successor to the MPS Panel established in 1953) continued to consult in a large number of cases concerning the suitability of certain applicants for CIA employment. A 25 September 1968 memorandum from the Director of Personnel to the Directors of Security and Medical Services cited recent progress in consultations between the three offices related to problems of marijuana and LSD and suggested that an OS-OMS-OP group at the working level meet regularly to discuss specific personnel problem cases. The Director of Security's response of 2 October 1968 not only approved the proposal, but expressed regret that he hadn't thought of the idea first. 191/

There were, however, even earlier signs. In September 1964 the DDS assigned responsibility to the Overseas Candidate Review Panel to conduct postmortems of cases involving Agency employees

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returned from overseas assignments for cause in order to provide a more viable basis upon which to judge their future considerations of proposed overseas candidates. 192/ The same year saw Agency regulations strengthened concerning supervisory responsibility in the area of employee conduct. 193/

During the winter of 1964-65 OS began a program involving the briefings of COS designates on personnel security problems in general, including specific potential personnel problem cases at the stations for which they were to assume responsibility. 194/ This necessitated obtaining a list of all personnel on duty at the particular station and reviewing the files for pertinent information -- including that bearing upon spouses and dependent children. The briefings were usually conducted by the Chief, Personnel Security Division following consultation with the Director of Security concerning specific content. This program, which has continued to date (1972), is intended to better prepare COS's to assume the full measure of their command responsibilities for the security of their stations.

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Hopefully, through its practice of the total personnel risk

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E. The Effect of Changing Values and Attitudes

In another volume in this series, a section has been devoted to legislative inquiries and congressional action related to proposed legislation concerning the use of the polygraph by Federal departments and agencies.* The use of the polygraph, however, has been only one aspect of the Federal personnel security program brought under attack by rising public and congressional criticism stemming from the subject of the "invasion of personal privacy." For example, the author has selected a piece of legislation which was the subject of OS examination in August 1966. The bill -- S. 3703, "A Bill to protect the employees of the Executive Branch of the United States Government in enjoying their constitutional rights and to prevent unwarranted governmental invasion of privacy" --

* OS-9, Polygraph Program, III, D.

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was being considered at that time by the Subcommittee on Constitutional Rights of the Senate Judiciary Committee. Following are pertinent excerpts from this proposed legislation showing the types of information which the Bill would consider beyond the purview of any given Executive agency regarding its employees or potential employees. These prohibitions are followed by the author's brief summary of the August 1966 comments of the Director of Security to the DDS concerning the effect of the Bill's provisions on existing CIA security practices on a point-by-point basis:

Section 1. (a) To require, or request, or to attempt to require or request, any employee of the United States serving in the department or agency or any person seeking employment in the Executive Branch of the United States Government, to disclose his race, religion, or national origin, or the race, religion, or national origin of any of his forebears.


D/S advised that PHS questions related to national origin of the applicant, father, mother, spouse, father and mother-in-law, relatives by blood, marriage or adoption who either (1) live abroad, (2) are not US citizens, or (3) work for a foreign government would be in violation of this section. This information was essential to the security assessment of applicants under existing Federal and Agency criteria for employment.7

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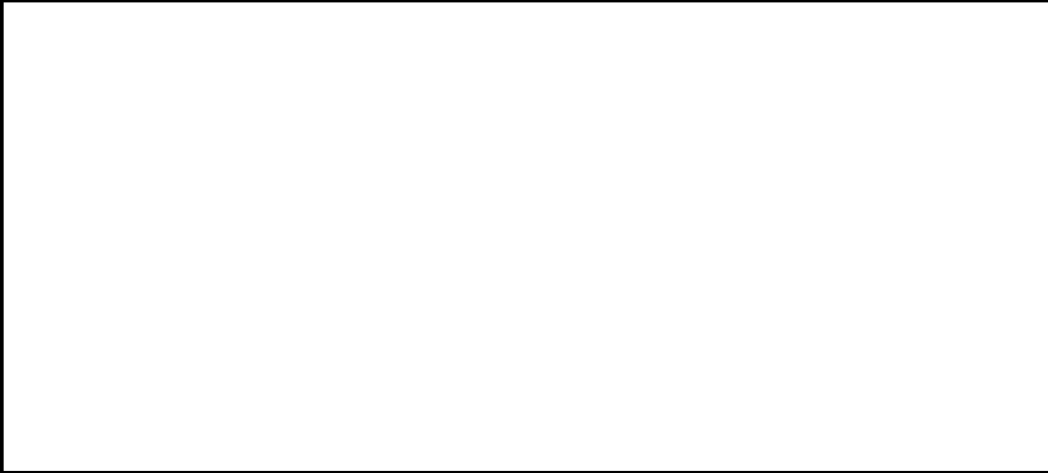
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25X1 Section 1. (e) To require or request, or to attempt to require or request, any employee of the United States serving in the department or agency to make any report concerning any of his activities or undertakings unless such activities are directly within the scope of his employment.



in violation of the proposed statute. The value of such procedures to CIA security had been amply demonstrated.7

25X1 Section 1. (g) To require or request, or to attempt to require or request, any employee of the United States serving in the department or agency, or any person seeking employment in the Executive Branch of the United States



* See Appendix E.

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Section 1. (k) To require, request, or attempt to require or request any employee serving in the department or agency, who is under investigation for misconduct to submit to interrogation which could lead to disciplinary action without the presence of counsel or other person of his choice, if he so requests.

D/S advised that although no Agency regulation existed covering this point, as a matter of practiced policy non-Agency persons were not permitted to be present during interrogations. /

Section 1. (i) To discharge, discipline, or deny promotion to any employee of the United States serving in the department or agency by reason of his refusal or failure to submit to any requirement, request, or action made unlawful by this Act.

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D/S advised that this section would have an impact on the DCI's already legislated summary dismissal powers, in addition to subject: Conduct and Discipline which includes official reprimand, and probation, suspension, or separation. /

Section 3. Whenever any officer of any executive department or executive agency of the United States Government, or any person acting or purporting to act under his authority, violates or threatens to violate any of the provisions of Section 1 of this Act, any employee of the United States or any person applying for employment in the Executive Branch of the United States Government affected or aggrieved by the violation or threatened violation may bring a civil action in his own behalf or in behalf of himself and others similarly situated against the offending officer or person in the United States District Court for the district in which the violation

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occurs or is threatened or the district in which the offending officer or person is found to prevent the threatened violation or to obtain redress against the consequences of the violation. Such United States District Court shall have jurisdiction to try and determine such civil action irrespective of the actuality or amount of pecuniary injury done or threatened, and to issue such restraining order, interlocutory injunction, permanent injunction, or mandatory injunction, or enter such other judgment as may be necessary or appropriate to prevent the threatened violation, or to afford the plaintiff and others similarly situated complete relief against the consequences of the violation.

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Still another proposed Bill can be used to demonstrate the extent of the problem. This Bill -- S1035, frequently referred to as the "Ervin Bill" and the "Employees Bill of Rights" but formally entitled "A Bill to Protect Employees of the Executive Branch of the Government" -- was passed by the Senate on 13 September 1967, and was subsequently considered by House Committee on Post Office and

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Civil Service. The Bill's salient points in brief included the following prohibitions:

- (1) To disclose race, religion or national origin or that of forebears. (Inquiry can be made when deemed necessary or advisable to determine suitability for assignment related to National Security within or outside U.S. *)
- (2) To make any report concerning his activities or understanding unless such are related to performance of official duties. (Does not preclude such reports if there is belief that outside activities or employment is in conflict with official duties*).
- (3) To submit to interrogation (where investigation is for misconduct) which could lead to disciplinary action without presence of counsel or person of choice, if requested.

* In all probability this accommodation was in response to CIA legislative liaison efforts.

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- (4) To disclose any items of property, income, etc., or those of any member of family unless conflict of interest is involved.
- (5) To submit to any interrogation or examination or take any psychological test designed to elicit information (with any person connected by blood or marriage, religious beliefs or practices, attitude or conduct re sexual matters). Does not preclude specific sexual misconduct charges made against that person for which an opportunity is afforded to refute charge.
- (6) To take a polygraph test in applying for employment designed to elicit info as given above.
- (7) To require participation in any activities or undertakings unless related to official duties. 196/

In addition to having a serious impact on CIA internal personnel security practices, the thrust of such legislation was contrary to the DCI's efforts to improve personnel security procedures throughout

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the overall US intelligence community -- efforts which had been prompted by the demonstrated vulnerability of US personnel to subversion.

Despite the consideration by Congress of a number of other similar articles of legislation, to date (1972) no Federal laws have been enacted which seriously inhibit the Agency's personnel security processes. The general attitude, however, carried over into other areas of the public domain, resulting in a problem which was first highlighted in the security section of the DCI's report to PFIAB covering FY 1965:

1. As a result of recent writings on the "invasion of privacy" there has developed a noticeable reluctance on the part of persons interviewed during the course of investigations to furnish information about, or even identify, the persons known to them who are being investigated. This reluctance has also manifested itself in the refusal by some university officials to make available documents and information pertinent to personnel security investigations. It is contemplated that this will be a continuing problem which will become even more pronounced in future years. These circumstances will require the development of new investigative techniques and additional sources of information. In this regard, the Office of Security has a senior officer working on a classified book on this subject. This is being done in

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But a social revolution began during the late 1960's, and it is still in process today. This revolution is bringing about changes in social and political customs, the nature of which will in all probability affect the personnel security processes. Any valid analysis of this situation, however, must in all likelihood await the efforts of subsequent historical writers -- because the full effects are not yet known. There are some very fundamental questions still unanswered. If homosexuality becomes accepted socially, and marriages between members of the same sex are legally sanctioned on a broader scale, will homosexuality continue to be a valid consideration in determining the security reliability of the individual? If the use of marijuana and other of the milder forms of narcotics becomes legally and socially accepted to the degree that alcoholic drink is accepted, what standard should be applied to personnel security? If the right of peaceful protest is to be enlarged to include acts of civil disobedience, what will then

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be the definition of disloyalty? If -- as much evidence seems to indicate -- radical political factions are fractionalized and undisciplined by the forces of International Communism, how then is the opposition defined? If the forces for change that are currently rampant are all for the good, who is it that is out of step with the times? The effect of the current social revolution on personnel security can not now be determined, because its effect upon society as a whole is not yet apparent. The author -- perhaps foolishly -- risks a prediction: Society must and will change, but the changes will be of considerably less intensity than those suggested by many of the more outspoken advocates.

In the meantime, those involved in personnel security work face difficult decisions -- should the standards be applied to a more relaxed degree, and, if so, to what degree of relaxation? There is evidence available which indicates how OS is dealing with such problems, but it is not in the form of cold, hard statistics -- little that deals with the science of human behavior should ever be presented in the format of a corporate balance sheet.

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The author, during a short period of time when he was acting as Deputy Chief of the Personnel Security Division, was given the unhappy but necessary task of explaining to certain personnel in the OP Interim Assignment Section (IAS), following polygraph examinations, why they were being separated from CIA employment. One such case involved a young female employee who admitted under polygraph examination that she had smoked marijuana on ten separate occasions (perhaps twelve -- she honestly did not remember) usually associated with party gatherings. As is the custom during such interviews, the author took the opportunity to personally discuss her offenses with the subject -- through such a process it is frequently possible to determine that the Agency may be making a mistake in rendering a too harsh judgment. The author was greatly impressed by the subject's forthright manner. There were no tears, but she was extremely critical of her own "stupid" behavior: ". . . it was a senseless lark . . . I will never do it again, regardless of whether the Agency decides to keep me on or let me go . . . I love this country, and I would be proud to work

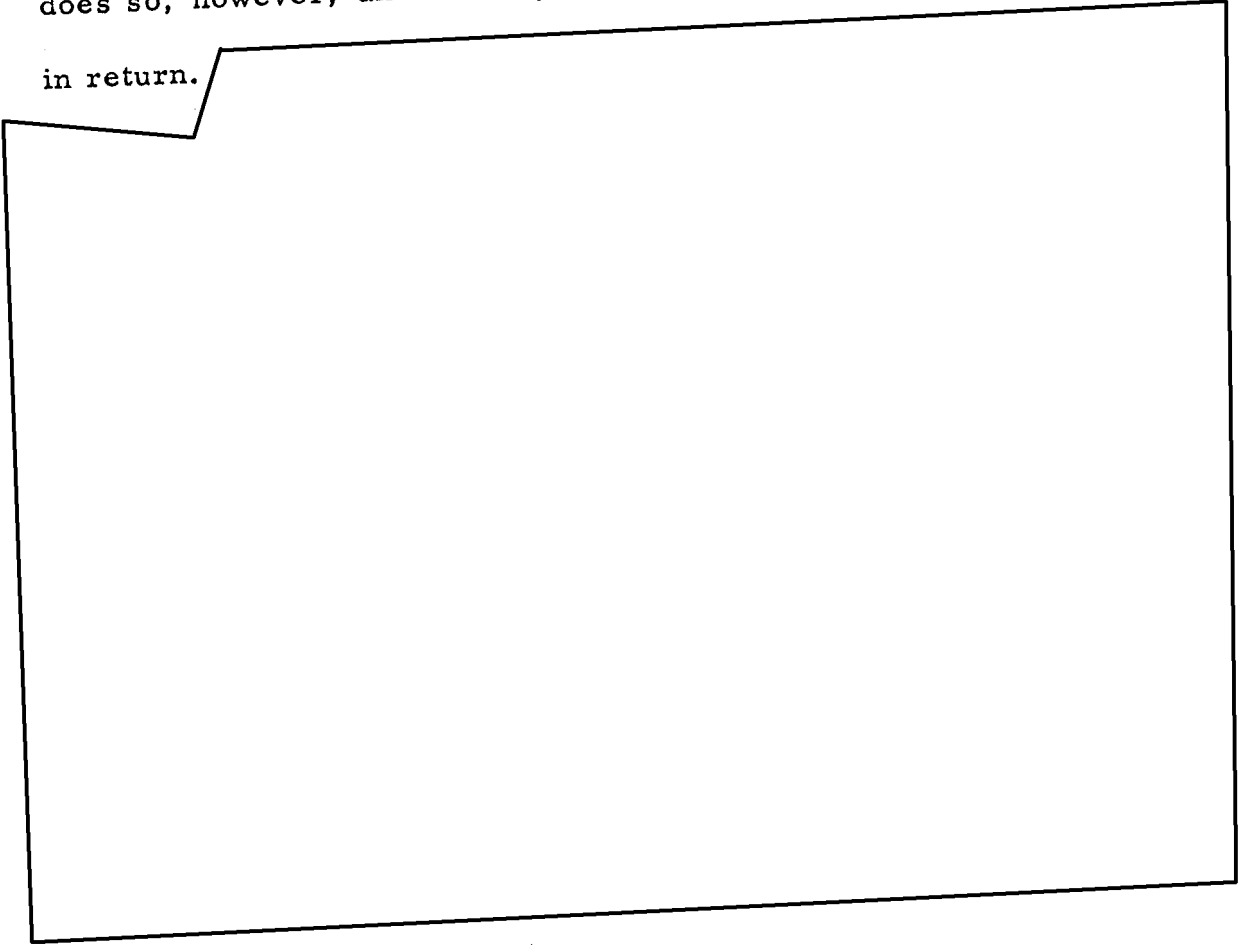
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for the CIA; if the Agency decides to give me another chance, I will not let them down." The Agency did give her another chance, and from all available indications her performance and behavior have been exemplary.

This was not an isolated case. OS frequently decides to change its mind -- it is selective as to those cases in which it does so, however, and it always extracts its measure of promise in return.



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The employee was retained on duty following a brief discussion concerning her future behavior.

On still another occasion, as Chief of OS's Employee Activity Branch, the author interviewed a black female employee. The subject had volunteered that she had recently begun attending seminars related to the racial problem at a local college and that a number of the participants were of the more radical variety. She wished to continue attendance at these sessions, and sought the reaction of OS to such continuance. After questioning the subject, the author was convinced that she herself did not possess radical views, but had an understandable intense interest in bettering the overall status of her race, that she was engaged in an honest, open process of legitimate inquiry, and was anxious to hear all points of view. The employee was advised that she had every right to continue in the activity in question, but that she would be expected to govern the extent of her involvement to such degree that it would not result in possible compromise or embarrassment to the Agency.

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The author suggests that in this era of changing attitudes, actions such as these -- and they are but three examples of many -- will be the saving grace of the Agency's personnel security program. Wisely, the Agency has never considered personnel security work as limited to the simple proposition of separating "good guys" from "bad guys;" it also involves working with people -- despite their human frailties. A viable personnel security program can be a builder of character.

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APPENDIX C

Homosexuality as a Security Risk Factor

During hearings in 1950 conducted before the Senate Expenditures Subcommittee concerning homosexuality in Federal government service, the then DCI, Admiral Roscoe H. Hillenkoetter, testified in part:

. . . Speaking for the Agency, we do our best as far as our own Agency is concerned to leave no stone unturned to make certain we do not employ any perverts of any sort, and if we do find them, we get rid of them as fast as we can.

. . . The consistent symptoms of weakness and instability which accompany homosexuality almost always represent danger points of susceptibility from the standpoint of security.

. . . I would like to say that, in our opinion, the moral pervert is a security risk of so serious a nature that he must be weeded out of government employment wherever he is found. Failure to do this can only result in placing a weapon in the hands of our enemies and their intelligence service, and the point of that weapon would probably be aimed right at the heart of our national security.

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Hillenkoetter presented several cases to illustrate the vulnerability of the homosexual government employee to blackmail by hostile intelligence services. He then listed those characteristics of the homosexual which he considered important factors in considering the security aspects of such individuals. He stated:

In the first place, an established homosexual relationship involves emotions as strong and usually stronger than a normal love relationship between man and woman.

Secondly, there is a known psychological susceptibility of the passive homosexual -- susceptible particularly to domination by aggressive personalities in any number or in any situation.

Thirdly, experience indicates that perverts are vulnerable to interrogation by a skilled questioner. They seldom refuse to talk about themselves, although some will not incriminate anyone else. In addition, homosexuality frequently is accompanied by other exploitable weaknesses, such as psychopathic tendencies which affect the soundness of their judgment, physical cowardice, susceptibility to pressure, and general instability. So, in addition to his homosexuality, a pervert is vulnerable in many other ways.

In the fourth place, in virtually every case, despite protestations by the perverts that they would never succumb to blackmail, they invariably express considerable

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concern about covering or concealing the circumstances of their condition. They also exhibit concern as to how much circulation the information may receive.

Fifth, in most cases, either currently or sometime in their past, the individual pervert has been promiscuous and has frequented various hangouts of his brethren, with the result that knowledge of his condition is known to a number of people, who may or may not be aware of his sensitive employment.

The comparative ease with which bars, restaurants, or night clubs where perverts congregate can be identified in any community makes it possible for a recruiting agent to use homosexuality as an excuse for the development of a clandestine relationship which can later be directed to espionage purposes, either with or without the knowledge of the subject, either wittingly or unwittingly. In this regard homosexuals have a definite similarity to other illegal groups such as criminals, smugglers, black marketeers, dope addicts, and so forth. They do congregate and they are well known in their circles.

Next, obvious homosexuals with the outward characteristics of femininity, or females with male characteristics, are often difficult to employ because of the effect on their co-workers and the public in general.

Some perverts who make a great to-do about their discretion are actually quite indiscreet. They are often too stupid to realize it, or through inflation of their ego or through not letting themselves realize the truth, they are usually the center of gossip, rumor,

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derision, and so forth. Experience has shown that even when the pervert has the best of intentions to drop the life and go straight, most homosexuals eventually revert to type.

To return to the reasons why the pervert is a security risk, the homosexual is extremely vulnerable to seduction by another pervert employed for that purpose by a foreign power, in our particular case, or by anyone. Such an agent would not have to be a homosexual, but could simulate the characteristics and gain access to the acquaintance of the pervert he selected for his victim by acting as a member of the group.

Another reason is that certain perverts are extremely defiant in their attitude toward society. They do not want to change their habits. They feel they are different and on a higher plane than the heterosexual. This mental attitude can be a very dangerous one, as it can be projected to a defiance of society in other respects, including disloyalty. A man figures he is better than the rest of the world and that, therefore, the laws of the rest of the world do not apply to him, including disloyalty.

Even the most brazen perverts are usually under considerable tension due to their efforts to conceal their condition and to suppress their instincts in the course of their everyday activity among normal persons.

Lastly -- and I think it is a very important reason -- perverts in key positions lead to the concept of a government within a government. That is so noteworthy. One pervert brings other perverts. They belong to the

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lodge, the fraternity. One pervert brings other perverts into an agency, they move from position to position and advance them usually in the interest of furthering the romance of the moment.

This in large measure is a result of the bonds and loyalties which exist between homosexuals and make them seek out, congregate with, and support others of the same type.

From these elements that I have discussed I think it is evident that a real security hazard lies in the susceptibility of homosexuals to inducement to cooperation in espionage. The use of homosexuals as a control mechanism over individuals recruited for espionage is a generally accepted technique which has been used at least on a limited basis for many years.

I think it is of interest for this committee to know, Mr. Chairman, that the use of homosexuality for the purposes of recruitment, blackmail, and control has been a frequent technique of the Soviet intelligence services. This has been particularly true in their state security organization. It is known that for many years the NKVD and its predecessor organizations in Moscow have directed intensive recruitment efforts against foreign diplomats who have homosexual tendencies. Standard operating procedures in these cases have been for Soviet intelligence to confront these individuals at the appropriate time with photographic and other evidence of homosexual acts, endeavoring to recruit them in this way by blackmail. It is known that in a number of such approaches they were successful.

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Hillenkoetter agreed with members of the committee that homosexuals should be barred from even unimportant, non-sensitive positions in the government. He indicated further that whenever the Agency had need for a homosexual in counter-espionage activities it is done on a temporary basis only, under tight control, and under some degree of surveillance. On this point he concluded:

You have to keep controls on them all the time. You have got to use extraordinary care and extraordinary precautions to be sure that they will not jump the other way on you.

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